DOCUMENT RESUME

ED 105 906 52 IR 002 098

TITLE	California Public Library Systems; A Comprehensive Review with Guidelines for the Next Decade.
INSTITUTION	California State Library, Sacramento.; Peat, Marwick, Mitchell and Co., Los Angeles, Calif.
SPONS AGENCY	Bureau of Libraries and Educational Technology (DHEW/OE), Washington, D.C.
PUB DATE	Jun 75
NOTE	269p.
EDRS PRICE	MF-$0.76 HC-$13.32 PLUS POSTAGE
DESCRIPTORS	Costs; Financial Support; Futures (of Society); Guidelines; Interlibrary Loans; *Library Cooperation; Library Education; *Library Networks; Library Planning; Library Services; *Library Surveys; Professional Continuing Education; Program Effectiveness; Program Evaluation; *Public Libraries; Regional Libraries; *State Legislation; State Programs; Statewide Planning; Tables (Data)
IDENTIFIERS	*California; Library Administration; Library Services and Construction Act Title I

ABSTRACT

An extensive study was conducted to determine whether California's Public Library Services Act had succeeded in its goal of improving and extending library service through the establishment and funding of library systems. The comprehensive study involved field interviews at all 20 systems; a review of system documents; a survey of reference services; and an intensive data collection effort to record activity, cost, and selected performance data related to system programs. It was concluded that public library systems in California have demonstrated a limited but constructive value under adverse circumstances. The systems have met substantial public needs for resource sharing, but inadequate funding has prevented optimal service. The funding formula used was not well-suited to library system programs or to the objectives of the Act. After an exploration of alternative methods of providing interlibrary services, it was recommended that a top level consortium of the strongest libraries in the state be created to meet requests that cannot be filled elsewhere. Two possibilities--continuation of the present system structure or designation of regional intermediate libraries--were proposed to provide an intermediate level resource. A new formula for funding interlibrary activities would be keyed to demand for services. (Author/PF)

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This study was supported in whole or in part by the U.S. Office of Education, Department of Health, Education and Welfare, under the provisions of the Library Services and Construction Act, Title I. However, the opinions expressed herein do not necessarily reflect the position or policy of the U.S. Office of Education, and no official endorsement by the U.S. Office of Education should be inferred.

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PEAT, MARWICK, MITCHELL & CO.
555 SOUTH FLOWER STREET
LOS ANGELES, CALIFORNIA 90071

June 4, 1975

Ms. Ethel S. Crockett
State Librarian
California State Library
P. O. Box 2037
Sacramento, California 95809

Dear Ms. Crockett:

We have completed our comprehensive review of the public library system development and proposed guidelines for Statewide Library Service in California for the decade 1975-1984. This report presents the results of the study, fulfilling the requirements of contract number 5317 between the State Department of Education and Peat, Marwick, Mitchell & Co.

We appreciate the opportunity to perform this significant project and gratefully acknowledge the courtesies and cooperation extended to our staff throughout the study.

Very truly yours,

Peat, Marwick, Mitchell & Co.

ED105906

CALIFORNIA PUBLIC LIBRARY SYSTEMS

A Comprehensive Review with Guidelines for the Next Decade

June 1975

PMM&Co. Peat, Marwick, Mitchell & Co.

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CHAPTER 1
EXECUTIVE SUMMARY

Although public libraries in California have been, and no doubt will continue to be, funded largely by local tax support, there has been a recognized supplementary role for the State since 1963. The Public Library Services Act provides for State grants to public libraries to assist them in establishing, improving and extending library service and to encourage them to establish library systems where appropriate. The funding of the Act has never exceeded $1.25 million per annum. In fiscal 1975 the appropriation is in the amount of $1 million; establishment grants have first call on these funds, and the remainder represents a per capita funding of about three cents. The main idea behind systems, in California as elsewhere, is that, by cooperation, better service can be given to patrons and needless duplication of expensive collections can be avoided by sharing resources. Until now there has been no comprehensive examination of the effectiveness of these systems or of the impact of the Act. In his analysis of the 1973-1974 Budget Bill, the Legislative Analyst recommended that the PLSA funding formula be reexamined. In 1974 the State Library commissioned this study to provide a comprehensive review and evaluation of the public library systems, to review the funding formula, and to propose guidelines for Statewide library service for the next decade. The results of our study of the twenty systems are summarized below.

EVALUATION

More than half of system funds have been devoted to resource sharing – especially borrowing books from one another (interlibrary loan) and assisting one another in answering information questions posed by patrons (interlibrary reference). In a monitored four-month period, systems handled 244,000 requests for interlibrary loans and 43,500 interlibrary reference questions, suggesting an annual volume of about 730,000 and 130,000, respectively. If the borrowing libraries had purchased the books sought by patrons instead of obtaining them by loan, the acquisition cost would have exceeded $8 million. Systems have clearly met a substantial public need by enabling public libraries to meet patron demands that they could not otherwise satisfy locally. Generally, the public library systems have the firm support of their member libraries. There is distinct evidence of economies of scale in the interlibrary sharing programs.

A key problem in interlibrary loans is that the referral to another library does not always result in the book being obtained for the patron, either because the book is not in the referral library's collection or it is already loaned out to someone else. In the cooperative

systems, an average 3.53 transactions were required per interlibrary loan request during the monitored period. Clear evidence also is provided that strong backup collections are necessary to fill requests that the systems cannot meet. The response time of the State Library in its role as a backup for interlibrary loan and reference appears to be less than satisfactory, no doubt at least partly due to inadequate funding.

In an actual test conducted in a sample of public libraries, it was found that on the whole they do not perform very well in meeting requests for reference assistance, although libraries that are members of systems perform somewhat better than nonmembers. There is urgent need for a staff development program to upgrade technical skills and to improve attitudes toward serving the public.

Some systems provide cataloging and processing services for member libraries. Where they do, there are typically large backlogs and, hence, inconvenient delays in getting books on the shelf. Duplication of cataloging effort should be eliminated; this requires action at higher than system level.

Systems have not been adequately funded: most systems have not been able to afford basic reference tools, adequate communications or procedures manuals; the majority of systems do not have adequate system-level staff and must rely on contributed services of member libraries' staff; there are no funds for adequate assessment of needs and resources, and for effective planning and budgeting; and the inadequacy of staff training is partly due to inadequate funding. Local and Federal funds are the chief sources of support for system programs. If Federal funds, through the Library Services and Construction Act, were not available to systems, major programs would have to be severely curtailed – including reference backup service, resource sharing, staff development, delivery and communications. The funding formula employed by the PLSA, which is largely based on weighted population, is not well suited to system programs and to the objectives of the Act.

In general, public library systems have played a limited but constructive role under adverse circumstances. Many of their shortcomings could be alleviated by improved funding. However, alternatives should be considered which hold promise of more efficiently fulfilling the resource sharing function, which is the chief contribution to public library service now being made by the systems. If the Public Library Services Act is retained, the funding formula in any event should be revised to make it more responsive to actual levels of public demand for library service.

THE NEXT DECADE: RECOMMENDATIONS

The demand for services of the type now offered by the public library systems is growing at a much faster rate than the rise in standard social indices such as population growth or educational attainment. Interlibrary lending, the best index of demand for library *system* services, has more than doubled in five years. A growth rate of 20% compounded annually is estimated for the years immediately ahead. This rapid growth may cause a breakdown in the structure. That point will be reached when the most heavily impacted lenders decide that they can no longer carry the cost of the loans. It is essential that interlibrary lending be properly funded before the breaking point is reached.

There are two feasible alternatives for the future provision of interlibrary services at the intermediate level – between the local library and the large research collections. One is the continuation of the present system structure. If this is done, we recommend a number of changes designed to make public library systems stronger, sounder fiscally and more efficient. Another alternative is to designate regional intermediate libraries throughout the State for purposes of resource sharing. In our judgment, there are advantages to this alternative over the present structure, including administrative simplicity, reduction in the number of transactions required to fill interlibrary loan requests and hence more rapid response to patron needs.

In either case, it is essential that a top-level consortium of the strongest libraries in the State be created to meet the demands that cannot be filled at the intermediate level. This consortium should consist of at least six libraries – the Los Angeles Public Library, the San Francisco Public Library, the university libraries at Stanford, UC Berkeley and UCLA, and the State Library. The State should support the implementation of an automated data file of the holdings of these libraries. (Substantial private and Federal funds have already been invested in a program called BALLOTS at Stanford which might serve as the basis for this effort.) The State should also support the operating costs incurred by the consortium in meeting loan and reference requests referred from the intermediate libraries. The consortium would be two-tiered, with the large public libraries in the first tier filling the bulk of the requests and referring the remainder to the more specialized collections in the libraries of the second tier.

The formula for funding the interlibrary activities now carried out by systems should be keyed to demand. The best indicator of demand being the volume of interlibrary loan and reference requests, a two-part formula is proposed. In the first part, lending libraries are compensated on an average unit cost basis for interlibrary loan and interlibrary reference

service, the unit value initially being set on the basis of the cost study performed as a part of this study and then adjusted periodically as performance is monitored. The second part of the formula establishes a Sustaining Services Fund to be administered by the State Library to support those activities which are essential to the success of the enterprise as a whole, such as staff development and coordinated collection building.

The initial cost of the formula is estimated at $3,971,000 for the fiscal year 1976. This does not include the one-time investment cost to produce the automated file for the top-level consortium, for which an estimate should be prepared. A comparison of the level of State funding for public libraries in the seven other largest states indicates that California's contributions would still be relatively modest.

CHAPTER 2
INTRODUCTION

This chapter provides an account of the background of the study, a description of the methods employed in carrying it out, a guide to the organization of the report and acknowledgments of assistance received in the course of the study.

BACKGROUND

With the enactment of the Public Library Services Act (PLSA) in 1963, a program of State grants to public libraries was launched to assist them in establishing, improving and extending library service and to encourage them to establish library systems in areas where such cooperation would facilitate improved library services. In 1966 the emphasis shifted from planning grants for establishment of systems to per capita support. Presently, there are 15 multijurisdictional and five single jurisdictional systems.

The Federal Library Services and Construction Act (LSCA), Titles I and III, has provided significant support of library coordination projects in California as elsewhere in the nation.

The great bulk of the support for public libraries in the State has come, however, from local funds.

Until the present there has been no comprehensive review of the effectiveness of library systems in California. The Legislative Analyst, in his analysis of the 1973-1974 Budget Bill, recommended that the PLSA funding formula be reexamined. In 1974 this study was commissioned to provide a comprehensive review and evaluation of public library systems, to review the existing funding formula for State assistance, and to propose guidelines for Statewide library service for the next decade.

METHODS OF STUDY

After the necessary initial study of the background of systems development in California and consultations with members of the State Library staff and Systems Study Task Force, the first major undertaking was a series of field interviews with systems personnel and representatives of member libraries. All 20 systems were visited, including 59 member libraries (see Appendix A). The dual purpose of these field trips was to obtain all data relevant to the

operations of the systems and to find out how well satisfied member libraries are with system services. (The interview guide and a tabulation of results are provided in Appendices B and C.) A group of ten nonmember libraries was also selected for the purpose of comparing member and nonmember results and attitudes. (This interview guide and tabulation are presented in Appendix D.)

The next major task was analytical in character. This involved review of documents obtained from all the systems (Plans of Service, annual PLSA applications and any others available) to determine their formally enunciated goals, objectives and priorities. These were then compared with the objectives and priorities implicit in their actual activities and commitments of time and funds.

The quality and speed of reference service was tested by actual on-site "patron" visits and telephone inquiries. Ten member libraries were compared with ten nonmember libraries in this survey. (Appendix E contains the instructions and questions used in this Reference Survey.)

The most demanding survey effort consisted of the design, implementation and subsequent analysis of system personnel time, program activity measures and costs conducted in all systems, beginning with a trial period in August 1974 and concluding with an intensive four-month data collection from September 1 through December 31.

A number of other tasks were performed in the first phase of work, all in accordance with the work plan outlined in our proposal. The performance of these tasks enabled us to complete our evaluation of systems operations and the funding formula.

The second phase of work, which involved the development of guidelines and recommendations for the future, included several major tasks.

Projections of requirements over the next decade, in relation to demographic factors and factors directly impacting library service, were prepared and their implications studied.

In order to assess intertype-of-library cooperation, representatives of a selection of nonpublic libraries were interviewed. These included representatives of the University of California system, the California State University and Colleges system, the community colleges, a number of private institutions, the special libraries and the public schools. The purpose of this survey was to assess the resources, capabilities and willingness of nonpublic

libraries to perform services, or to form cooperative structures for performing services, now provided by public library systems in the State. (Appendix G contains the interview guides and the names of nonpublic libraries visited.)

A set of alternative structures for providing the services now provided by public library systems in the State was developed. These alternatives were described and reviewed, first in a meeting of the consultant team with the Systems Study Task Force and then at two well-attended open meetings of the Systems Congress at the annual CLA meeting in November. On each occasion we solicited suggestions for any other possible alternative structures.

The main task of the second phase of work, of course, has been the analysis of alternatives and the development of a recommended structure and funding proposal.

ORGANIZATION OF THE REPORT

Part One of the report (Chapters 3 through 8) contains our evaluation of the public library systems. Chapter 3 traces systems development, organization structure and administration. Chapter 4 contains the results of the analysis of systems objectives, formal and implicit, and concludes with definitions of system programs and the related performance indicators. The fifth chapter describes the results of the three-part survey of the quality and speed of reference service at selected member and nonmember libraries, with a summary and conclusions. Chapter 6 reports the results of the intensive four-month effort to collect data on program activity and costs in the 20 systems. Chapter 7 analyzes systems funding and provides answers to the five specific questions on funding contained in the Request for Proposal. Chapter 8, Conclusions, summarizes the evaluation. It also contains the results of the survey of member library satisfaction with systems, comments on State Library backup and Statewide Union Catalog performance, and provides our "Evaluative Statement" in response to the three specific questions posed in the Request for Proposal on system activities in relation to the purposes of the PLSA.

Part Two (consisting of Chapters 9 through 13) discusses guidelines and alternatives for the next decade. Chapter 9 discusses projected requirements and proposes specific guidelines for estimating the growth of interlibrary demand. Chapter 10 explores alternatives to the present system structure, summarizes the results of the survey of nonpublic libraries, and outlines the criteria for making choices among alternatives. In Chapter 11 we present two workable alternatives. Chapter 12 is devoted to funding. Chapter 13 discusses implementation.

ACKNOWLEDGMENTS

The members of the Peat, Marwick, Mitchell & Co. consulting team wish to express warm thanks and appreciation to all the librarians and supporting staff who persevered with us through the four-month data collection period. Now that it is finished and the results are in, we think it was worth the pain and hope you will agree when you have read the results.

In particular, we wish to acknowledge the assistance and guidance received from the Systems Study Task Force – State Librarian Ethel Crockett, the State Library Executive Cabinet, and four public librarians: Virginia Ross Geller, Frances Henselman, Mary Stephens, and Clarence Walters – and the staff of the California State Library. Special thanks are also due to the members of the Council of California Public Library Systems for their valuable advice and constructive comments.

Finally, we wish to acknowledge a great debt of gratitude to Genevieve M. Casey, former State Librarian of Michigan and Professor of Library Science at Wayne State University, and S. Gilbert Prentiss, former State Librarian of New York. They have served from the beginning as "consultants to the consultants." They have assisted in the field work and prepared draft portions of the report. Most importantly, however, they have provided their insights and judgment on all the major findings and recommendations.

PART ONE

AN EVALUATION OF CALIFORNIA'S PUBLIC LIBRARY SYSTEMS

CHAPTER 3
DEVELOPMENT AND ORGANIZATION

This chapter is the first of six constituting the evaluation of public library systems in California.

SYSTEMS DEVELOPMENT

The development of California's public library systems began with the enactment of the Public Library Development Act of 1963, subsequently renamed the Public Library Services Act (PLSA). The Act provided State funding in the form of establishment (development) grants and annual per capita (ongoing) "grants to public library systems for the purpose of:

- Assisting them in establishing, improving, and extending library services
- Encouraging them to establish library systems in areas where such cooperation would facilitate improved library services."[1]

To qualify for State funding under PLSA, it is necessary that a public library system meet certain requirements set forth in the Act.

There are 20 public library systems in California, including 15 multilibrary cooperative systems and five single library systems. The names of these systems and the number of member libraries in each are presented in Exhibit 3-1 on the following page; a detailed listing of member libraries by system is presented in Appendix 3-A. The number of systems which may exist has been limited by a State Library policy which permits only consolidations of present systems and/or nonmember libraries in conformance with the California Geographic Plan.[2]

With the impetus provided by PLSA funding, California's public library systems have formalized patterns of cooperation among libraries. Prior to the formation of systems, these patterns of cooperation were largely limited to bilateral reciprocal service agreements between independent libraries.

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[1] Public Library Service Act (Education Code, Sections 27111-27146)
[2] Geographic Plan for Public Library Systems Approved under the Public Library Services Act

EXHIBIT 3-1

CALIFORNIA PUBLIC LIBRARY SYSTEMS
FISCAL YEAR 1975

15 Multijurisdictional systems (1)	Number of member libraries
Berkeley-Oakland Service System	2
Black Gold Cooperative Library System	7
East Bay Cooperative Library System	4
49-99 Cooperative Library System	7
Inland Library System	10
Metropolitan Cooperative Library System	22
Monterey Bay Area Cooperative Library System	7
Mountain-Valley Library System	12
North Bay Cooperative Library System	14
North State Cooperative Library System	12
Peninsula Library System	8
San Joaquin Valley Library System	8
Santiago Library System	9
Serra Library System	12
South Bay Cooperative Library System	5
5 Single jurisdictional systems (2)	
Kern County Library System	1
Long Beach Public Library System	1
Los Angeles County Public Library System	1
Los Angeles Public Library System	1
San Francisco Public Library System	1

(1) Multijurisdictional systems are composed of more than one public library agency.

(2) Single jurisdictional systems consist of a single public library agency.

Evolution of the public library systems in California progressed with two apparent motives: first, as mandated by PLSA, to improve and extend library services through cooperative interaction, and second, through the centralization of certain programs and activities, to achieve economies of scale or specialization. While these motives complement each other, they can, and sometimes do, lead to different patterns of development.

Reasons for Affiliation

To gain some insights into the systems development process, representatives of each member library interviewed during the study were asked why the library joined the system. The responses are summarized below:

- **Availability of Funds** – Nearly half (48.7%) of the member libraries interviewed cited State subvention (PLSA), and subsequent Federal subvention (LSCA), as a key reason for joining a system.

- **Equal and Wider Availability of Resources** – 38.5% of the member libraries indicated that the PLSA requirement of equal access to the expanded resource base of the system was important to them.

- **Better Reference Services** – 30.8% of the responses dealt with the improved reference capabilities which systems would create.

- **Other** – The remaining responses were spread over a number of considerations; however, the three most frequently cited include centralized processing, access to professional staff and avoidance of duplication in materials.

Appendix 3-B contains the tabulation of interview results from which the above summary is drawn.

The importance of funding in the development of systems is clearly demonstrated by the data above. In the field interviews, LSCA funds, including Title II construction funds, were frequently mentioned. PLSA establishment grants were attributed more significance than ongoing per capita grants, which were generally regarded as inadequate.

Prospects for improved service levels at a minimal cost, e.g., reference services and access to professional staff, and reduced costs through centralization, e.g., centralized processing, when grouped together were the second most important reason for joining a system.

System Growth

Following the period in which most of the systems were formed, a number of system-level mergers occurred. These mergers were often at the encouragement of the State Library, and always followed the geographic criteria set forth in the *Geographic Plan for California Public Library Systems Approved Under the Public Library Services Act.*

Also, during this period there was considerable growth in the number of libraries affiliated with systems. This growth appears to be the result of three factors:

- **CSL Encouragement** – Encouragement by the State Library for nonmember libraries to join systems was an important factor, mentioned by many librarians interviewed.

- **System Performance** – Many libraries initially adopted a "wait-and-see" policy toward system affiliation. After evaluating system performance, many of these libraries joined.

- **Ability to meet PLSA Requirements** – Many nonmember libraries could not meet the minimum requirements mandated for system affiliation by PLSA. Improvement in local expenditure and tax rates resulted in a number of libraries qualifying for system affiliation.

Development Guidelines

During this period of system development and growth, it appears that very few guidelines, other than those in the PLSA, were provided to assure the coordinated development of California's public library systems. The result of this lack of direction was the creation of more than one system in a geographic area, and the fact that, today, no two systems are alike in their program structure or operations.

During this same period, the requirements for system affiliation, e.g., per capita income, tax rate, etc., were not raised. This lack of adjustment in system standards has resulted in a widening of range of member library characteristics, rather than encouraging a uniform standard for system members. A significant question raised during the system interviews was whether, in some cases, since system membership provided reciprocal borrowing privileges and access to backup collections, the system had enabled a small, perhaps inefficient, library to avoid merging with a larger county library.

Continued Independence of Nonmember Libraries

A number of important public libraries have not joined a public library system. Ten of these nonmember libraries were interviewed to determine why they have not chosen to affiliate.

The primary reason, nonmembers reported, for not joining a system is the belief that the costs of belonging to a system far outweigh the potential benefits. None could cite any statistical verification for this belief (nor could system members demonstrate that the value of benefits exceeded their costs). Three major system cost components discouraged nonmembers:

- Nonreimbursed usage of staff, collections and facilities
- In-kind contributions of staff and equipment required
- Membership fees required to support system programs.

System benefits against which these costs were applied included interlibrary loan and reference backup, both of which were already provided by the State Library or a Federally funded network.

Most of the nonmembers interviewed serve communities which have long traditions of independence from outside governmental agencies, and local autonomy was frequently cited as a second reason for not joining a system. Nonmember libraries were afraid of being "overwhelmed" by nonresident use from neighboring communities which are system members.

It should be noted that some of these nonmember libraries have a per capita expenditure level significantly higher than the average in the system they would have to join.

SYSTEM ORGANIZATION STRUCTURE

The organizational structure and resultant division of system-level responsibilities was explored during the visits to the systems and member libraries. While the multijurisdictional systems have the same general organization structures, administrative patterns vary widely.

Executive Board

Each of the multijurisdictional systems has an executive board, or board of directors, composed of the directors of the member libraries. In no case, at the time of our field

interviews, was a nonlibrarian -- a member library trustee or an outside public official -- a member of a system executive board.

It is the executive board's responsibility to determine system policy, set goals and objectives, approve system assessments and expenditures and designate a representative to the Systems Council, the executive committee of the California Congress of Public Library Systems.

The chairmanship of the system executive boards is determined in one of three ways:

- **Elective** -- The chairman is elected by a majority of the board for either a one- or two-year term
- **Rotating** -- The chairmanship is rotated among board members every term
- **Permanent** -- Because the fiscal relationship is permanently vested with one jurisdiction, a few systems have designated that library director as permanent chairman.

The system executive boards typically follow the practice of limiting the vote to one per member library. While the one vote per member library practice has ensured that system programs will benefit all members, it has also created some conflicts, since system funds, at least those portions which are State and local, are typically population-based. Representatives of several large member libraries interviewed expressed dissatisfaction about the size of their vote relative to their implicit share of system funding.

Fiscal Agent

Each system must designate a fiscal agent to administer its grants and expenditures. The fiscal agent is typically either the librarian or the fiscal manager of one of the member libraries. This job does not often rotate. The fiscal agent is primarily concerned with fund accounting, system budgets and, in a few cases, some system-level cost accounting.

Coordinator and Other System Staff

One-third of the multijurisdicational systems have a coordinator. The coordinator reports to the executive board/chairman and is responsible for the system's day-to-day operations. Due to funding uncertainties, many systems have not hired coordinators, but have relied instead on other system personnel or the system chairman to coordinate system programs.

Nearly every multijurisdictional system has its own personnel, either on its own payroll or on a contract basis with member libraries. System personnel are typically assigned to a specific system program or activity such as the following:

- **Interlibrary Reference** – The majority of the systems have a reference coordinator and, to a lesser degree, clerical support staff for the reference program.
- **Processing/Cataloging** – Systems with processing centers have the appropriate staff for these programs.
- **Interlibrary Loan** – A number of systems have clerical staff or pages to handle interlibrary loan activity.
- **Delivery** – Nearly every system has the personnel necessary to operate a delivery van between member libraries.
- **Outreach** – System-level outreach programs are generally staffed with personnel on the system payroll.

In-kind Staff

The majority of multijurisdictional system activities are performed by the staff of the member libraries, generally on an in-kind basis, i.e., without reimbursement. In contrast with the direct system staff discussed above, member library staff accounted for 58% of the total hours charged to multijurisdictional system programs during the four-month period October 1, 1974 through December 31, 1974. This percentage includes in-kind contributions (49%) and identifiable contract services performed by member libraries (9%).

SYSTEM ADMINISTRATION

Administrative patterns are quite varied among the systems. This is largely due to the differences in system size and program structure. However, other factors such as the lack of uniform guidelines during system development, the magnitude of local funding and the high percentage of in-kind activity have contributed to this variety.

The legal basis for public library systems, the PLSA, does not specifically define how the systems should be organized and administered. Systems must rely on local jurisdictions for their legal status. As a result, there is no uniform set of system personnel policies, wage and

fringe benefit guidelines and classification codes, a condition which has frustrated some systems in hiring staff.

Four general patterns of administration are evident in the systems:

- **Administration by System Chairman** – In several systems, especially those with a permanent chairman, the system chairman is the focal point of the administrative structure. In addition to his/her home library responsibilities, this person acts as the part-time administrator of the system's programs.

- **Administration by Member Libraries** – In cases where a specific system program is performed at one of the member libraries, it is not uncommon for that library to assume responsibility for that program's administration.

- **Administration by System Coordinator** – At the time the systems were interviewed, very few had coordinators. Representatives of the member libraries of the few systems which do have coordinators, however, believe that the administration of system programs was dramatically improved by this appointment.

- **Administration by Program/Project** – Some system programs have a separate coordinator or staff. Typical programs in this category include reference and outreach. In these cases, the program's administration is delegated to the system staff person responsible for the program.

Generally, more than one of the patterns above is found in a system. The specific mix of patterns depends on the number of programs a system offers, its size and the characteristics of system member libraries.

Administrative costs in the multijurisdictional systems, treated more thoroughly in Chapter 6, accounted for just over 9% of total system costs reported during the four-month period October through December 1974, ranging from about 3% of total costs to over 17%. Administration accounted for 7.6% of the total hours charged to multijurisdictional systems' programs during this period. Those administrative costs directly related to a particular program appear as a program cost and are not included in these calculations.

CHAPTER 4
GOALS, OBJECTIVES AND PROGRAMS

This chapter reviews the system planning process, analyzes the formal systems' goals and objectives statements obtained from available source documents, and compares them with the patterns of objectives implicit in the activities carried on by the systems. System programs and appropriate performance indicators for each program are defined.

THE SYSTEM PLANNING PROCESS

System planning is one of the primary responsibilities of the system executive board. Although each system has its own procedure, smaller systems typically involve the entire executive board in the development of the annual plan, while larger systems typically delegate the detailed planning to a committee of board members. Systems with coordinators rely heavily on this person for the detailed preparation of the annual plan. In each case, the plan is reviewed and ultimately must be approved by the full board. This planning procedure generally applies, whether the system is preparing an LSCA grant application or developing its annual statement of PLSA fund priorities.

In the majority of systems, the PLSA Plan of Service, the annual PLSA grant application and LSCA grant applications constitute the only written statements of system goals and objectives.

PLSA Plans of Service

Required by the PLSA as a condition of receiving a State grant, the system Plan of Service describes the services to be provided by the system and the standards for member libraries' branches and extended services. Specifically required in the Plan of Service is a statement of the manner in which the five elements contained in the PLSA (Section 20150) as "Elements of a Library System" are to be provided. These elements include the following:

- "The selection and acquisition of materials in a consolidated or in a coordinated manner.
- The organization of materials for use, including cataloging classification and physical preparation, in a consolidated or in a coordinated manner.

- The lending of materials for home use, with the return of such materials unrestricted as to service outlet.

- Reference and research, including assistance to users by library staff, consolidated or coordinated where necessary to provide the maximum utilization of the total resources of all participating libraries.

- The interavailability of materials and information among all service outlets on the same basis for all library users, including a method by which each participating library may ascertain specific holdings of other participating libraries."

The Plan of Service also calls for descriptions of available resource centers outside the systems, areawide projects, coordination of systems and a detailed listing of other systemwide services.

Annual PLSA Grant Applications

In addition to the Plan of Service, the PLSA requires that systems submit an annual application to the State Library for per capita PLSA funds. This application requires that the projected system services to be undertaken with PLSA funds be listed in order of their priority. The relationship between these services and the system Plan of Service must also be shown. Dollar amounts, i.e., the allocation of funding among these services, are specifically excluded, however.

LSCA Grant Applications

Also received by the State Library from systems are applications for Federally funded grants, through the Library Services and Construction Act (LSCA). These grants have been primarily for demonstration projects involving interlibrary cooperation. While these grant applications are generally more comprehensive than the application for State funds, the special purpose nature of the application and the lack of comparable data for all systems restricts the use of these documents as a source of system goals and objectives.

FORMAL GOALS AND OBJECTIVES

During the field visits to public library systems and member libraries, an attempt was made to gather or document the systems' *formal* goals and objectives. *Formal* goals and objectives are the written statements of system purpose and intent which relate areawide needs to system programs and activities.

Most of the systems reported that the only written statements of goals and objectives that had been produced at the system level were the system Plan of Service and the annual priorities statement in the PLSA grant application. The appropriateness of these documents as formal statements of goals and objectives is discussed in the following sections.

In sharp contrast to the system-level goals and objectives, member libraries typically had a comprehensive set of goals and objectives based on a community needs assessment and tied to the local library budget. The rigorous planning that was apparent at the local level was seldom reflected in the system goals and objectives.

It should be pointed out that a few of the multijurisdictional systems were able to provide a separate and more comprehensive set of goals and objectives than the statements of program plans and priorities in the Plan of Service or annual PLSA grant application. These statements contained a comprehensive set of system goals and broadly stated objectives, including a plan for meeting each objective and a set of criteria with which attainment of objectives could be measured. Unfortunately, this degree of planning was the exception, not the standard practice.

Plans of Service

The Plans of Service on file in the State Library in Spring 1974 averaged about four years old. These Plans of Service do not correspond well with the annual PLSA priorities statements, further indicating that these Plans of Service are not representative of current system goals and objectives.

These Plans of Service were analyzed to compile a set of system goals according to what systems had most recently reported to the State. The results of the compilation are presented below, beginning with the plans for the five "elements" stipulated in the Administrative Code:

- **Selection and Acquisition of Materials** – Virtually all of the multijurisdictional systems indicated that the selection of materials would remain a decision of the local library. About 60% indicated that they would sponsor voluntary selection and review meetings; about one-third planned to implement a program of subject specialization among the member libraries. It must be assumed that, while the legislature encouraged coordinated selection of materials, this element was not interpreted by the State Library to be a mandatory requirement for systems to receive PLSA funding.

  Acquisition of materials in a consolidated or coordinated manner received less compliance than selection of materials. Over half of the multijurisdictional systems left the acquisition of materials to member libraries. The remaining systems implemented a coordinated program, either through a central processing center or the State Library processing center.

EXHIBIT 4-1

MULTIJURISDICTIONAL SYSTEMS

Relationship of Programs to Plans of Service and PLSA Elements

PLSA elements of a library system*	System programs/activities	Plan of Service (No. of systems)
Reference and research*	Interlibrary reference	13
Interavailability of materials and information*	Delivery/communications	15
	Equal access	15
Lending of materials, unrestricted return*	Bibliographic resources	4
	Interlibrary loan	15
Selection and acquisition of materials in a consolidated or coordinated manner*	Aid in materials selection	
	Coordinated collection building	9
	Audio-visual (films)	2
Organization of materials for use*	Cataloging	
	Processing	5
Extension of service (Section 20151 PLSA)	Outreach	–
	Publicity and public relations	–
Coordination of system (Plan of Service)	Staff development	–
	Administration	–
	Networking	1
	Strengthening of area libraries	–

- **Organization and Preparation of Materials** – Again, as in the acquisition of materials, about 60% of the systems planned to sponsor central processing centers. With the exception of the five systems which currently have cooperative processing centers, the systems have allowed member libraries to do their own processing or individually contract with the State Library processing center.

- **Lending of Materials** – All systems have implemented the PLSA-required provisions of reciprocal borrowing privileges with unrestricted return of materials to any service outlet.

- **Reference and Research** – Nearly all of the systems have implemented a reference program, typically by augmenting the reference collection and staff of the designated system-area libraries.

- **Interavailability of Materials** – Interavailability of materials has been implemented by all systems through a delivery system and a procedure, using either system-level location tools or communications devices, to determine the specific holdings of member libraries. At the present time, only one-third of the systems have a union catalog, either partial or complete, of member library book holdings. The remaining systems must individually query member library catalogs through a system communications network.

- **Other Services** – In addition to the "elements" discussed above, other specific programs and services appeared in the Plans of Service.

A schematic diagram showing the relationship of the system programs to Plans of Service is shown in Exhibit 4-1 on the facing page. The column "Plan of Service" shows the priorities for the systems' programs according to the number of times cited in the Plans of Service for the multijurisdictional systems.

The compilation of system Plans of Service indicates that delivery/communications, interlibrary loan, equal access and reference were the most popular programs/activities according to system plans on file with the State Library.

Annual PLSA Applications

Since these applications must be filed annually, it must be assumed that the priorities stated reflect current systems' plans. For each system, the two most recent PLSA applications were used to develop the data presented in this section.

EXHIBIT 4-2

MULTIJURISDICTIONAL SYSTEMS

Frequency of Program Listings in Plans of Service and PLSA Applications

System programs/activities	*Formal goals and objectives* Plan of Service (No. of systems)	PLSA applications (No. of systems)
Interlibrary reference	13	13
Delivery/communications	15	12
Equal access	15	2
Bibliographic resources	4	5
Interlibrary loan	15	5
Aid in materials selection/ coordinated collection building	9	14
Audio-visual (films)	2	10
Cataloging) Processing)	5	3
Outreach	–	5
Publicity and public relations	–	5
Staff development	–	4
Administration	–	7
Networking	1	6
Strengthening of area libraries	–	2

The compilation of the services specifically listed in the annual PLSA applications, presented in Exhibit 4-2 on the facing page, shows the current systems planning. The most important programs/activities according to current system priorities continue to be reference and delivery/communications, but also include coordinated collection building/materials selection and audio-visual. Significantly, several new goals are identified in the annual PLSA applications: outreach, publicity, staff development, system administration and networking.

Allocation of System Resources

In an attempt to correlate these "formal" system goals and objectives with the systems' current programs and activities, Exhibit 4-3 on the following page shows the distribution of systems' costs by program. Because some of the programs involve a much higher labor intensiveness than others, a clear ranking is not possible. Moreover, the costs for activities like delivery and communications are included in the programs which they support.

The cost percentages confirm the importance of certain programs: reference, interlibrary loan and audio-visual; others are surprisingly important on a cost basis relative to the priorities shown: outreach and system administration. Not borne out by the cost distribution are the priorities associated with coordinated collection building/materials selection, publicity and staff development.

IMPLICIT GOALS AND OBJECTIVES

In an attempt to validate the stated system goals and objectives, another set of questions was asked during the systems interviews. A set of implicit goals of system programs has been determined from the responses to the questions: which system program or activity was considered most valuable by system members, and a ranking of systems programs/activities according to what system members perceived as the most important system needs. The responses to these questions are compiled in Exhibits 4-4 and 4-5 on the following pages.

Most Valuable System Services

In order to measure the value of specific system services, system member library representatives were asked: "In your opinion, what are the three most important services provided to member libraries by the system? Which do you use the most?" The responses to this question are summarized in Exhibit 4-4.

EXHIBIT 4-3

MULTIJURISDICTIONAL SYSTEMS

Distribution of Systems' Costs by Program

System programs/activities	*Formal goals and objectives*		*System activities*	
	Plan of Service (No. of systems)	PLSA applications (No. of systems)	Average proportion of multijurisdictional systems costs (1)	Number of multijurisdictional systems reporting programs
Interlibrary reference	13	13	14.9%	14
Delivery/communications	15	12	N/A	–
Equal access	15	2	N/A	–
Bibliographic resources	4	5	5.5	11
Interlibrary loan	15	5	32.8	14
Aid in materials selection/ coordinated collection building	9	14	1.0	13
Audio-visual (films)	2	10	9.7	11
Cataloging)	5	3	10.3	5
Processing)			13.6	5
Outreach	–	5	18.9	9
Publicity and public relations	–	5	0.6	9
Staff development	–	4	2.1	11
Administration	–	7	9.4	14
Networking	1	6	N/A	–
Strengthening of area libraries	–	2	N/A	–

(1) Average proportion of multijurisdictional system costs is an arithmetic (not a weighted) average of the percentage of system costs spent on each program. The number of systems on which this average is based is given in the adjacent column.

EXHIBIT 4-4

MULTIJURISDICTIONAL SYSTEMS

Implicit Goals: Perceived Value of Services

System programs/activities	*Formal goals and objectives* Plan of Service (No. of systems)	*Formal goals and objectives* PLSA applications (No. of systems)	*Implicit goals and objectives* Most valuable system service (No. of responses)
Interlibrary reference	13	13	40
Delivery/communications	15	12	15
Equal access	15	2	13
Bibliographic resources	4	5	6
Interlibrary loan	15	5	42
Coordinated collection building/ materials selection	9	14	–
Audio-visual (films)	2	10	24
Cataloging) Processing)	5	3	4
Outreach	–	5	3
Publicity and public relations	–	5	–
Staff development	–	4	3
Administration	–	7	–
Networking	1	6	–
Strengthening of area libraries	–	2	–

EXHIBIT 4-5

MULTIJURISDICTIONAL SYSTEMS

Implicit Goals: Ranking of Service Needs

System service	*Implicit goals and objectives* Ranking Top 1/3	Mid 1/3	Low 1/3	Mean score*	Overall ranking
More materials in headquarters library	48%	35%	17%	3.9	1
More materials in local libraries	45	41	14	4.1	2
More staff headquarters library – system level	46	24	30	4.2	3
Improved services to special groups – aged, institutionalized, business, etc.	29	55	16	4.4	4
Better access to nonpublic libraries in system area	38	35	27	4.5	5
Improved staff development programs	25	44	31	5.0	6
More staff in local libraries	23	19	58	5.7	7
Centralized cataloging/processing	39	2	59	5.8	8
Better delivery systems	18	33	54	6.1	9
New servvices	N/A	N/A	N/A	N/A	N/A
Other	N/A	N/A	N/A	N/A	N/A

* Mean score is the average of the individual rankings assigned to a service.

Consistent with the "formal" system goals and objectives, system resource sharing programs – interlibrary loan, reference, delivery/communications and equal access – were the most valuable system services. In addition, the high rank of audio-visual (films) supports the higher priority received by this program in the annual PLSA applications.

Inconsistent, however, was the ranking of coordinated collection building/materials selection. This program was frequently mentioned in the Plans of Service and annual PLSA applications, but was not cited as one of the three most valuable system programs.

Most Needed System Service

Exhibit 4-5 shows the ranking of system needs determined by asking member libraries the question: "Assuming adequate funds were available, what improvements in existing services or new services, would produce the greatest benefits? (rank 1, 2, 3, etc.):

- Centralized cataloging/processing
- More materials in headquarters library
- More materials in local libraries
- More staff in headquarters library – system level
- More staff in local libraries (specify)
- Improved staff development programs
- Better access to academic and special libraries in system area
- Better delivery systems
- Improved services to special groups – aged, institutionalized, disadvantaged, business, government, etc. (specify)
- New services (specify)
- Other (specify)"

Their responses are displayed in Exhibit 4-5 by the percentage of responses in the top, mid and lower third in terms of ranking, and by the average of the individual rankings.

While this list of improved services does not completely coincide with all system programs, those that are consistent generally support the system goals and priorities identified in the previous sections.

The top two needs cited are for more materials, first at the system level and, second, in local libraries. Third in the ranking of needs is staff at the system level. While their ranking is significantly higher, staff and materials at the system level are also cited on the annual PLSA priorities under system administration and strengthening of area libraries. The need for more

materials in local libraries, while not specifically a system-level activity, may reflect the pressure inflation is placing on local acquisition budgets.

Also ranking high as system needs are improved services to special groups and better access to nonpublic libraries. These needs are consistent with the frequency with which these programs, outreach and networking, are cited in the annual PLSA grant applications.

The ranking of delivery as a low priority need may be explained by the fact that all of the systems have a delivery system of some type, and apparently it is adequate enough so that its improvement is not a top priority item.

The most interesting responses relate to centralized cataloging/processing. There was no middle ground for this program; the responses are either in the top or lowest third.

Other services cited by member library representatives included the following:

- Audio-visual (18 responses) – Over one-third of the respondents added this program to the list. Their rankings were: 67% in the top third, 17% in the mid-third, and 17% in lowest third.

- Public relations staff (7 responses) – Six of the seven respondents ranked this service in the top third; one ranked it in the mid-third.

- Centralized circulation controls (6 responses) – Five respondents ranked system-level circulation control in top third; one ranked it in mid-third.

- Staff specialists/consultants (5 responses) – The need for system-level staff specialists (other than public relations or coordinator) was ranked in the top third by two respondents; mid-third by two respondents; and lowest third by one respondent.

- Union book catalog (5 responses) – Development of a system union catalog was ranked in the top third by all five respondents citing this program.

- System coordinator (4 responses) – Hiring of a system coordinator was ranked in the top third by all four respondents.

SYSTEM PROGRAMS

An analysis of existing system programs (Chapter 6) necessitated the definition of these programs in statewide, uniform terms. In addition, performance indicators and techniques for monitoring program performance are identified. Since these performance

indicators provide the basis for setting program objectives and measuring performance, they are addressed in this section.

A program is an activity or group of activities directed toward the accomplishment of a goal or specific objective. Activities are the elements of the programs. The activities may be the services provided as part of the program or the services required to support the program. The scope of a particular program is defined in terms of the activities included in that program.

Twelve system programs, common to cooperative public library systems, are discussed. They are as follows:

- Interlibrary Loan
- Interlibrary Reference
- Equal Access
- Bibliographic Resources
- Coordinated Collection Building/Materials Selection
- Audio-Visual
- Central Cataloging
- Central Processing
- Staff Development
- Outreach
- Publicity and Public Relations
- System Administration.

Interlibrary Loan

Interlibrary loan is simply the lending of materials from one library to another. Systems have formalized this practice into a cooperative program whereby the system locates and obtains materials requested by a system member library from other member libraries. Activities involved in the interlibrary loan program include communications between member libraries, circulation controls for materials loaned, delivery of materials, photocopy of materials (when provided in lieu of a loan) and development of system-level location tools (bibliographic resources) to facilitate the location of materials.

Performance indicators for the interlibrary loan program include speed, transactions per request, hours per request, fill rate and cost per request. These indicators and techniques for their measurement are discussed below:

- Speed – The number of days required from the receipt of the request from the patron until the requested materials are received is an important measure of the system's responsiveness. Measuring the speed of response for all requests is difficult, but at least this performance indicator should be measured on a sampling basis periodically to monitor system effectiveness.

- Transactions per request – The number of transactions required to fill a request is an indicator which should be sampled and monitored by systems, since as it increases, the speed and costs are likely to suffer.

- Labor hours per request – The average number of hours spent per request is an important indicator of procedural and staff effectiveness. Also, since labor costs represent a major portion of program costs, this indicator may explain variations in cost per request. The best method for monitoring hours per request is to log all staff during a fixed period, similar to the way this was done in the September-December 1974 period.

- Fill rate – The number of requests which can be satisfied from within the system's resource base is an important indicator of system effectiveness. The easiest way to measure system fill rate is to monitor the ratio of requests filled by the system to those which had to be forwarded outside the system. This indicator provides the key measure of program effectiveness for the coordinated collection building/materials selection program.

- Cost per request – The cost-effectiveness of the interlibrary loan program should be monitored by dividing total program costs by number of requests. Where system program budgets are not used, the costs of developing this indicator may be prohibitive. Because of its high correlation to costs, hours per request may be the most effective substitute for cost per request in these cases. Changes in this indicator relative to attempts to improve other performance indicators (e.g., speed, fill rate) provide the basis for evaluating their cost/benefit tradeoffs.

Interlibrary Reference

Interlibrary reference is the referral of patron information or subject requests from one member library to another. When, because of the difficulty of a patron's question, or the lack of adequate reference or subject-area resources, a request cannot be filled within a member library, the system provides access to the collections and staff of other member libraries to fill the request. The activities which make up the interlibrary reference program

primarily include communications between member libraries and the search and response to the request. Where materials are provided in response to a request, either an ILL may be created, or photocopies may be provided.

Performance indicators for the interlibrary reference program include speed, accuracy, patron satisfaction, fill rate and cost per request. These indicators and techniques for their measurement are discussed below:

- Speed – As in ILL, the time required from the receipt of the request from the patron until the response is received is a key measure of program effectiveness. Either continual or periodic monitoring of this indicator is necessary to measure program performance.

- Accuracy – Where citations or specific pieces of information are provided in response to a reference request, their accuracy is extremely important. Inaccurate responses may result in inconvenience or outright patron dissatisfaction. Recent studies of reference program effectiveness, including the survey performed during this study (Chapter 5), indicate that an alarming percentage of reference requests are answered innacurately. Unfortunately, the best method to test the accuracy of reference service is to perform a surreptitious test like that described in Chapter 5.

- Patron satisfaction – In contrast to interlibrary loan, where the title sought is either obtained or not, reference service must be evaluated qualitatively. Most attempts to measure reference effectiveness have included surveys of patron satisfaction. Periodic sampling of patron satisfaction can provide useful input for the improvement of reference service. One system has relied on a questionnaire distributed to all patrons during National Library Week.

- Fill rate – The number of requests which can be satisfied from within the system's resource base is an important indicator of system effectiveness. The easiest way to measure system fill rate is to monitor the ratio of requests filled by the system to those which had to be forwarded outside the system.

- Cost per request – The cost-effectiveness of the interlibrary reference program should be monitored by dividing total program costs by number of requests. Where system program budgets are not used, the costs of developing this indicator may be prohibitive. Because of its high correlation to costs, labor hours per request may be the most effective substitute for cost per request in these cases.

Equal Access

The equal access program formalizes, at the system level, reciprocal borrowing agreements among all member libraries. Any resident of the system area may receive, on an equal basis, service at any member library. The measurable impacts of equal access are

nonresident circulation, nonresident reference requests (if patrons/callers are identified) and the relative increases in service levels resulting from unrestricted access to all service facilities. Possible performance indicators and methods for measuring this program's impact are discussed below:

- Nonresident circulation – Each member library should measure nonresident circulation periodically to determine its magnitude, as well as the home library of nonresident patrons. This data may be used as a measure in compensating for local service imbalances.

- Nonresident reference requests – Where reference patrons or callers are identified, their number should be determined periodically to correct local service imbalances.

- Systemwide circulation per capita – In addition to the measures of nonresident use above, a measure of the overall impact of equal access may be gained by measuring systemwide circulation on a per capita basis periodically, and relating this index to nonresident circulation. Over a number of periods this relationship will indicate the extent to which total circulation is a function of equal access.

Bibliographic Resources

Bibliographic resources involve the development, at the system level, of collective location tools – subject specialization lists, union lists, union catalogs, etc. – to facilitate the location of ILL and reference requests. The effectiveness of these tools can be measured by their impact on the performance indicators for the affected programs. The primary indicators of their effectiveness lie in their ability to (a) reduce systemwide communications costs, (b) reduce the transactions per request ratio, and (c) increase the system fill rate. In each case the development of bibliographic resources should be cost-justified by expected reductions in program costs for the affected programs. Monitoring of program costs, especially the costs of bibliographic resources, is necessary to ensure that this justification exists.

By-products of bibliographic resources are the bibliographic control and shared cataloging potential resulting from their development. To the extent that either of these benefits is realized, measurement of their impact will provide additional performance indicators for the bibliographic resources program. The performance indicators for the coordinated collection building/materials selection program and cataloging program should be monitored in conjunction with investments in the development of bibliographic resources.

Coordinated Collection Building/Materials Selection

This program has the dual goals of providing some system-level bibliographic control and assisting member libraries in reviewing and selecting materials for acquisition. Bibliographic control is the result of coordinating collection building among member libraries to reduce the acquisition of low demand materials and broaden subject strengths. Aid in materials selection includes cooperative book review meetings which can enable member library purchasing personnel, through pooling their efforts, to increase their effectiveness at moderate costs.

Overall, the effectiveness of this program is a function of whether it can strengthen the system resource base. To measure its effectiveness, the key performance indicator is system "fill rate" for interlibrary loan and reference. Increased subject strengths are only worthwhile if they are reflected in a higher fill rate.

Long-range performance indicators for this program include reduced acquisition costs per circulation and higher average circulations per individual material purchased. The latter indicator, average circulations per acquisition, may be monitored by comparing circulation histories for a random sample of acquisitions to their projected circulations.

Audio-Visual

System-level audio-visual programs are defined as pooled film collections or film circuit membership. This restrictive definition distinguishes films from other audio-visual materials – records, art prints, tapes, etc. – which are typically regarded as part of a local library collection.

Performance indicators for a system film program include showings per film and cost per showing.

Since the purpose of system film programs is to augment the programs of member libraries, system-level performance indicators should be set and monitored according to criteria distinct from those applied to local programs.

Central Cataloging

Central cataloging is defined as a system-sponsored provision of cataloging services for library materials to the member libraries. Program activities included catalog research, contract

services, communications and preparation of catalog cards. Cataloging is separated from processing (another program) because the output of cataloging should be measured in number of titles, rather than volumes, and because the staff requirements are different for the two programs.

Performance indicators for the central cataloging program include speed, cost per title and, where a heavy backlog exists, percent of backlog reduced. In addition, a one-time objective for the system cataloging program is standardization of all member library formats and requirements. Cataloging performance indicators are discussed below:

- Speed – The elapsed time from receipt of an acquisition and availability of finished catalog input typically creates the bottleneck in technical processing operations. Often, materials are not shelved because their cataloging is incomplete. Average days of elapsed time per title cataloged is an important measure of the output effectiveness of this program.

- Cost per title – The cost per title cataloged should be calculated periodically, not only to monitor program performance, but more importantly, so that the tradeoffs between current procedures and alternative methods of cataloging may be evaluated. As jobbers and shared cataloging data bases expand the number of available alternatives, it is important to be able to evaluate their costs relative to current unit costs.

- Backlog – Where a substantial cataloging backlog exists, an objective should be set which reflects that the backlog is being managed. Typically, a graduated percentage of the backlog should be reduced each period. Accordingly, the size of the backlog relative to the number of titles cataloged should be measured periodically.

Central Processing

Central processing, excluding the cataloging function, involves the preparation of library materials for shelving and circulation. Processing activities include receiving (reconciling to purchase orders), jacketing, labeling, pocketing and delivery to member libraries.

Processing effectiveness is a function of volumes processed, rather than titles. Performance indicators for the central processing program include speed, cost per volume and control of backlog. As in cataloging, a one-time objective is to achieve standardization in processing requirements among member libraries.

- Speed – The average elapsed time from the completion of cataloging to delivery to the member library represents processing speed.

- Cost per volume – The cost per volume processed should be calculated periodically, not only to monitor program performance, but more importantly, so that the tradeoffs between current procedures and alternative methods of processing may be evaluated. As jobbers expand the number of available alternatives, it is important to be able to evaluate their costs relative to current unit costs.

- Backlog – Where a substantial processing backlog exists, an objective should be set which reflects that the backlog is being managed. Typically, a graduated percentage of the backlog should be reduced each period. Accordingly, the size of the backlog relative to the number of volumes processed should be measured periodically.

Staff Development

Staff development at the system level includes in-service training programs, workshops, seminars and the development of the documentation – procedures manuals, instructions, etc. – to facilitate the use of system programs. The goal of the staff development program is improvement in the quality of patron service and increased quality/quantity of staff output.

The effectiveness of a staff development program is measured by monitoring the changes which occur in performance indicators of the target program. Desired improvements in a program's performance indicators should be documented when the staff development program is initiated, and subsequent monitoring will determine whether the improvement is realized. The cost of each staff development program should be evaluated against the program's planned and actual results.

Outreach

The goal of outreach programs is to extend library services to special groups on a systemwide basis. When specifically identified groups are not adequately served by member libraries, special means of service are developed and implemented cooperatively at a system level.

Performance indicators for outreach programs must be defined in terms of desired program output. Typically, this output is an improved service level for the target group at

some cost per capita or per service unit. Program costs should be segregated and service statistics should be gathered periodically to monitor program performance.

Publicity and Public Relations

Providing publicity and public relations services for member libraries at the system level may range from printing brochures and bookmarks to cooperative purchase of television and radio advertising. The effectiveness of these programs can be measured in two ways. First, whether cost savings to member libraries can be achieved through cooperative activities. Second, individual campaigns should be measured by the amount of activity above normally expected levels which they produce. A good approximation of their effect can be made by monitoring door count and circulation statistics before and after each campaign.

System Administration

System administration involves all activities relating to the administration of the system, including coordination of system programs, grant application, planning, budgeting, bookkeeping and committee work.

The effectiveness of system administration is a function of the cumulative effectiveness of the individual system programs. System administration program effectiveness can be measured three ways. The percentage of system administration costs relative to total system costs can be monitored as a performance indicator for this program. A second performance indicator may be defined which relates to percent variance from system budget. Finally, a third performance indicator may be developed, relating to the number of program objectives met or exceeded on a systemwide basis.

These program definitions and performance indicators provide the basis for the program activity and cost analysis contained in Chapter 6.

CHAPTER 5
THE REFERENCE SURVEY

It does not seem unrealistic to assume that wherever there is a public library there will be available a reasonable standard of reader services. Likewise, in the years since library systems have proliferated so widely, it is assumed that when a public library joins a library system or network, something will have been added to result in better service to the users of that library. In each case, it is probably correct to assume that the potential for a certain quality of library service exists, but unfortunately it is seldom that such basic assumptions about libraries are tested to see if all is really working as it is supposed to work. The three-part test which is reported here represents a modest effort towards determining how a group of 20 libraries (ten of which are members of systems, and another ten of somewhat comparable size which are not members of systems)[1] would actually perform in three different situations intended to simulate real-life requests coming to the reference desk of the typical public library. The test was designed to gain some idea of the quality of reference service available from the local library itself, and at the same time to learn how the library might respond when its own resources were not adequate to answer an inquiry fully.

There were three major parts of the test. Part I consisted of a list of titles of various materials – books, journal articles, etc. – some of which it might be expected would be found in most public libraries, and others which were more specialized. The list was checked in each of the 20 test libraries by a member of the consulting team who conducted the general interview with that library. Two items found to be not in the library's collection were then requested, through whatever machinery the particular library maintains for drawing on resources beyond its own collection, and the results of that request were followed to completion.

Part II of the test involved a telephone reference question which could be answered by a simple factual response once the information was obtained, but which, it was assumed, might tax the on-site resources of many libraries.

Finally, Part III consisted of a single involved reference question, asked in person by a librarian member of the consulting team who visited each of the libraries for that purpose

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[1] One library changed its status from nonmember to member during the study.

alone. This was the kind of question on which even the smaller public library could be expected to make at least a beginning but which, if answered in depth, would involve a wide variety of library materials and a relatively sophisticated approach.

Appendix 5-A, "Instructions for Reference Survey," outlines the instructions and forms used in the survey and contains the lists of actual questions asked in the participating libraries.

In Part I, since the inquiry was conducted as part of the general interview of the library, the libraries were eventually aware that this was a kind of test. While the natural desire of the library to appear at its best might affect its performance on such aspects of the test as the fill time for an ILL request, it obviously would not change what resources were in the collection or available through the system. In any event, in evaluating the results of Part I, it seems fair to assume that because they knew they were on trial, the libraries probably functioned in the test situation at least as well as they normally do.

On the other hand, Parts II and III of the test were conducted by a librarian – a member of the professional staff of the research library maintained in the Los Angeles offices of PMM&Co. – and the librarians were not aware of her association with the study or her library background. Inevitably, in a few instances, problems arose as a result of her nonresident status, but in those situations where it might have had a bearing on the outcome of the test, the results have been interpreted as though the request was filled successfully. In other words, where failure to produce the desired response might have been attributed to rules regarding place of residence, the library was given the benefit of any possible doubt about its performance.

RESULTS OF THE TEST – PART I

This part of the survey was designed primarily to see what actually happened when the libraries in the test were faced with a situation necessitating the borrowing of materials from another library – what materials were received, what sources were employed, what kind of relationships exist between the borrowing and the lending libraries, what bibliographic tools were available and were used, how long it took to get the materials and similar questions. Citations for all of the items requested in this phase of the test were bibliographically complete and correct so that the library was required only to locate and supply the items. In over half of the requests a specific page reference was given so that a photocopy could be supplied if the library so elected.

The procedure was as follows. The consultant (a nonlibrarian) conducting this part of the test checked a preselected list of items (see Appendix 5-A) in the library's public catalog. Selecting at least two of the items which appeared not to be in the local library, he then inquired of the appropriate library personnel if the items could be obtained. (This also provided an opportunity to gain some knowledge of the library's ILL procedures, i.e., anticipated fill time, delivery and communication systems, etc.) The consultant then requested two of the items through ILL, leaving a notification form and self-addressed mailing envelope to be sent to him when the request was completed. At this point in the procedure, it obviously became necessary for the consultant to identify himself if he had not already done so, but in the hope of minimizing any resulting bias, the library was asked to handle the ILL in a routine manner.

A total of 40 items (books and periodicals) divided equally between member and nonmember libraries were requested. No more than two items were requested from any library. Where possible, the same items were requested from the nonmember as from a member library which was comparable in size. Otherwise, the items requested were varied in order to avoid the possibility of several requests for the same item funneling up to the State Library or other resource center.

The Rate of Success

The numbers of requests filled by member and nonmember libraries, according to weekly fill time intervals, were as follows:

Success Rate, Interlibrary Loan

Days waiting time*	Requests filled by members	Requests filled by nonmembers
0- 7	5	2
8-14	5	5
15-21	4	5
22-28	1	2
29	3	1
Total items received	18	15

* Number of days between date of request and date item was received in the library.

As the table shows, 90% of the individual requests made of system members were filled and 75% requested of nonmembers were filled. What may be nearly as significant was that system members were able to fill ten of the requests within two weeks while nonmembers were able to fill seven in the same period. When the waiting time is extended to three weeks, the total requests filled move up to 14 and 12, respectively. It seems reasonable to presume that the usefullness of ILL's to the persons requesting them may begin to drop off quite rapidly after a waiting period of around three weeks.

While the member libraries performed somewhat better than the nonmembers on this part of the test, both in respect to requests filled and the time involved in filling them, it will be noted that it took the system members more than four weeks to fill three of the requests, and one of those requests took a full two months. Furthermore, in the case of one request which a system member was unable to fill, notification was not received for more than two months after the request was made. It may be said for the system members, however, that none failed to respond eventually to a request, whereas 15% of the requests made of nonmembers were not filled and the "patron" was not notified of the outcome.

ILL Sources

Turning to the sources from which both types of libraries were able to supply materials, it is noteworthy that system members were able to draw on the collections of other member libraries within the system to fill 70% of the requests made of them with only 15% of their requests coming from the State Library. By comparison, 45% of the requests made of nonmembers were supplied by the State Library. (This amounted to approximately 64% of the total requests which the nonmember libraries were able to fill.) Further, the turnaround time for items filled within the system was significantly shorter than for nonmembers' requests filled by the State Library; it took system members an average of 12.4 days to fill a request when filled within the system, while nonmembers relying on the State Library averaged 22.8 days. (This figure is exaggerated because of the inclusion of one request which took 74 days to fill; otherwise, the turnaround time would have averaged 17.1 days.)

In a striking example of the often wide difference which exists between theory and practice, the test showed that a nonmember library which, through its membership in an intertype network, is affiliated with a nearby academic library, was able to fill its two requests from that library in eight days. On the other hand, a system member library, also affiliated with the same academic library, took two months to fill one request while the other was not filled at all. In this case, the member library was following a system procedure which required that if an item is not believed to be in the system, the member library should go directly to the State Library. It should be pointed out that undoubtedly there was a good reason for

instituting the system procedure which resulted in the member library's disastrous showing; nevertheless, it does indicate that, from the point of view of the user, system membership is not always the unmixed blessing it is assumed to be.

This part of the test also brought out more sharply even than Parts II and III the bewildering variety and complexity of procedures among the 20 libraries in the sample for going beyond the initial library, whether for an interlibrary loan or a subject request. Since these procedures have to do mostly with the steps the library takes to fill the user's request, they do not necessarily inconvenience the user directly, but they do have much to do with the chances that the request will be filled and, especially, how long it will take to process it.

RESULTS OF THE TEST – PART II

In this portion of the test, we are dealing with a telephone request for the answer to a straightforward, factual question. It was not feasible to ask all of the 20 libraries the same question, but the questions were as near the same level of difficulty as it was possible to make them, and all were typical of the kind of questions asked regularly in any active public library (see Appendix 5-A).

The Rate of Success

As already noted, the caller did not identify herself as a resident of the service area of the library being called and, in two instances where the library otherwise would have referred the question to a larger backup library, it was unable to do so because of a rule excluding nonresidents from this type of service. In both cases, this inquiry has been treated as though it was referred to the backup library and answered, because there is little question that this would have been the case except for the residence problem.

Including these two requests assumed to have resulted in correct answers, the total number of libraries giving the correct answer was eight. Six of these were member libraries. In other words, 12 libraries, including four member libraries, failed to answer the question. Or, more precisely, ten libraries failed to give an answer, and two gave incorrect answers.

Use of Resources Beyond the Initial Library

A total of seven of the eight successful libraries in this part of the test referred the question to another source where the answer was provided. In all but one instance these were

member libraries resorting to the stronger resources provided by virtue of the system relationship. It is not unreasonable to assume that the five system libraries which did not turn to their backup libraries (for whatever reasons) probably would have been able to provide the answer had they done so. It should also be noted that in at least three of the member libraries which did refer the question, the staff person did not offer to do so until the caller made the suggestion and pressed the point as she was instructed to do.

Aside from the unexpectedly poor overall performance of the 20 libraries, the results bear out the assumption that a library which is a member of a system is able to outperform the nonmember library in this type of service. At the same time, there is no question but that the potential of the library system is seriously frustrated by the failure of staff members at the local level to take advantage of the possibilities for improved service which the system provides.

Staff Assistance

Since these were all telephone requests, obviously a staff member of the library was involved in every instance, and since there were only two possible outcomes – either the question was correctly answered or it was not – no attempt has been made to categorize staff attitudes and competence in this part of the test. Nevertheless, it is clear that staffing is as critical as any of the library's resources. For example, a failure to offer to pass the question up through the system or network chain obviously represents a staff failure, one which completely cancels out the larger reservoir of useful library materials which would otherwise be available to the user. In the remaining situations where the libraries failed in this test, it is less clear to what extent failures can be attributed to staff shortcomings.

Patrons Referred to Another Agency

A "referral" in this sense applies to those situations where the library refers the patron to another agency, library or nonlibrary, in contrast to the library's taking the initiative in getting the information or materials from another source.

In this portion of the test, four member libraries and four nonmember libraries suggested that the caller try another source. In three of these, an academic library with which the public library had no working relationship was suggested; in another, a large public library was suggested and the phone number provided; and in the remainder, the suggestions appeared to be more in the nature of grasping at straws rather than providing a valid and helpful alternative to the user.

Waiting Time

In every instance, except one which extended over several days, the inquiries in this part of the test were concluded, successfully or unsuccessfully, on the same day that they originated.

RESULTS OF THE TEST – PART III

Since the question (see Appendix 5-A) in this part of the test was an involved one which could be answered in many different ways, and in almost infinitely varying depth, the rating of the libraries' overall response is necessarily more subjective than in Part II, but it has been possible to group the responses into three broad categories, as follows:

A. At least a good beginning. Some idea of what sources are going to be most useful (books, periodicals, documents, etc.) and where they will be available. Usually implies both a reasonably good collection and reasonably good staff help.

B. A partial answer, but a modest start, at least. In some cases, the materials located were quite inadequate in spite of good staff assistance; in others, the reverse might be true.

C. A completely inadequate response.

Rate of Success

According to the above grouping, the performances turned in by all libraries in the test arranged themselves as follows:

Success Rate, Complex Question

	A	B	C
Member libraries	4	2	4
Nonmember libraries	2	4	3
Totals*	6	6	7

* The interviewer was unable to get to one library at a time when it was open during the period of the test.

Looking at the totals first, again it is disappointing to find more failures than "good starts" or "modest starts." Or, to turn it around, it is not reassuring to find only one-third of the libraries doing a fairly good job on this question while another one-third did a very mediocre job and the final third performed badly. As would be expected, the member libraries had more "A" ratings but, on the other hand, there was one more failure among the member libraries than among the nonmembers.

Use of Resources Beyond the Initial Library

It can be assumed that all of the member libraries have legal access to library resources beyond their own collections and staffs, and it should not be forgotten that all of the libraries in the study (member and nonmember) can turn to the State Library for materials and assistance.

In 11 of the libraries in this part of the test, there was no initiative on the part of the staff person to take the request beyond the initial library where the question was asked. In the remaining eight libraries (seven members and one nonmember) a request was placed with another library – three of these were ILL's for specific books or articles, and the remaining five were subject requests.

The best response to a subject request was in the form of a typed note from a system resource library outlining what materials had been located and suggesting that if the questioner would come in, she would be assisted in using them. Because of the range and complexity of the question, it did not seem unhelpful that this approach was used rather than sending the materials to the library where the request was generated. Thus, this response, dated five days after the initial request, could be considered very good library service. In a considerably less helpful response, the request was returned by the backup library after 16 days suggesting that the questioner would have to be more specific.

It is worth noting that only four of the libraries which referred the question to another library (either for an ILL or a subject request) were among the six which were rated as turning in the best overall performance on this question, and in no case was the rating of one of the six best performers dependent only on materials or assistance received from the system or any other library. It is also important to observe that, as was the case in Part II, it was too often necessary for the questioner to press for referral to the system before that step was taken.

Waiting Time

In all of these transactions where there was no referral action (11 libraries), it can be assumed that the transaction was completed, whether successfully or not, on the day when the question was asked. There was no response at all to two of the referred requests. Among the remainder, a response was received in an average of ten days, covering a range of five to 18 days.

Staff Assistance

It goes without saying that persons who are unfamiliar with libraries are almost completely dependent on assistance from the library staff. This is true to the extent that in those situations where capable staff assistance is not forthcoming, for whatever reasons – incompetence, unwillingness, lack of time, etc. – it makes no difference how rich the other resources of the library might be. As has already been pointed out, in this study the questioner was instructed not to disclose the fact that she is a research librarian, and to seek staff help even if it was not volunteered. To this extent the test differed from real life, where a timid or uninitiated patron often will not ask for help if it is not offered.

Again, three categories were established in order to group the test libraries according to the quality of staff assistance, as follows:

A. Willing and competent. (Knowledgeable about available resources; suggested useful subject approaches; showed genuine desire to respond to the patron's needs, etc.)

B. Only moderately helpful because of attitudes, lack of competence or a combination of both.

C. Definitely unhelpful, for whatever reason or reasons.

Quality of Staff Assistance

	A	B	C
Member libraries	5	2	3
Nonmember libraries	3	2	4
Totals	8	4	7

The significant fact here would not seem to be the difference between system and nonsystem libraries but rather the number of staff failures, which were nearly equal to the

number of helpful responses. Obviously, it cannot be assumed, as appears to be the case now, that if a reference librarian is in attendance, users will be well-served. And, in case one is disposed to excuse this performance on the grounds of lack of sufficient time for the staff person to be gracious and helpful, it was pointed out by the questioner that the library which gave the most and best help was also the busiest of any in the entire sample.

Patron Referred to Another Agency

As noted earlier, libraries frequently suggest to the patron that he or she go to some other source (not necessarily another library) for help with whatever problem has been presented. This is in contrast to a referral where the library at which the inquiry is made applies for assistance from another library with which it has some kind of formalized arrangement for so doing.

In this portion of the reference study, 14 of the 19 libraries involved suggested that the questioner try some other agency. It would be unfair to flatly characterize any of these referrals as an attempt to get the questioner, who has posed a relatively difficult question, off the library's back. It can be flatly stated, however, that it is not very helpful or professional to suggest to the patron that he or she should "try an academic library" or "why don't you contact the employment office." When the library in question has obviously not tried to determine what might be available either in its own collection or in the agency referred to, it is particularly distressing.

On the other hand, when the initial library has done enough work on the question to have an idea of what it can and cannot furnish, and then suggest to the patron a specific source that might provide additional material and make sure the patron has the information needed to approach the agency in question, it can be a legitimate and very useful part of the library's response. In this part of the test, the questioner was able to classify only five of the referrals as falling in this latter category.

SUMMARY AND CONCLUSIONS

The table on the following page summarizes the overall performance of system members and nonmembers on the test.

Overall Performance, Members and Nonmembers

	MEMBERS		NONMEMBERS		TOTAL	
	Number (of members)	Percent	Number (of nonmembers)	Percent	Number (of total libraries)	Percent
Libraries performing satisfactorily* on all three parts of the test.	2	18%	1	11%	3	15%
Libraries performing satisfactorily* on two parts.	6	55%	4	44%	10	50%
Libraries performing satisfactorily* on one part or less.	3	27%	4	44%	7	35%
Total	11	100%	9	99%	20	100%

* Performance was considered to be satisfactory on Part I if both requests were filled; on Part II if the question was answered correctly; and on Part III if the response was classified as "A" or "B" according to the table on page 5-9.

The most striking fact displayed in the table is that only three libraries (two members and one nonmember) or 15% of the total performed adequately on all three parts of the test. Next in importance would be the quite clear indication that member libraries were able to respond more effectively than nonmembers. (Although not shown in this table, the shorter fill time required by most member libraries further improved the performance of member libraries.) Even so, the data does not demonstrate as great a difference in performance between system members and nonmembers as might have been expected. None of the libraries failed completely on all three parts of the test, although one library, a system member, was able to provide only one ILL request out of all three parts of the test – pointing to a staff failure at the local level since the results unquestionably would have been different had the system been involved.

Comparing the performance of the 20 libraries (members with members and nonmembers with nonmembers) on all three parts of the test does not reveal any significant patterns. For example, since only three libraries performed satisfactorily on all three parts, it cannot be shown that a library which did well on any one part was likely to do well on the others. This scattered showing is not surprising since the separate parts of the test were conducted over a period of several weeks and, in a particular library, it is likely that different staff members were involved in responding to the different parts of the test. There is some temptation to note that, while the quality of staff performance in a particular library varied

from test to test, the materials available in that library remained constant, thereby bearing out the importance of staff performance to successful library service. The difficulty with such a conclusion is that the three parts of the test also constituted a variable in the sense that they called on somewhat different library strengths, so that a combination of good and bad performances on the part of a particular library could have been due to the nature of the questions as well as to staff performances.

The Findings Summarized

The major findings which were revealed most plainly by the test could be summarized as follows:

1. Overall, the performance of the libraries was surprisingly poor.

2. Libraries which were members of systems performed significantly better on all three parts of the test than nonsystem libraries – the needed materials were produced more often and delivery time was shorter – but the performance of system members was still considerably short of outstanding and delivery times in most systems were still overlong.

3. The failure of library staff members to perform well was a frequent reason for the poor performance of libraries (both members and nonmembers). The most obvious and consistent staff error was not taking advantage of the wider resources available through the system or from other sources. This would include the crucial ability to determine the user's exact need and to refer the request up through the resource chain in a form that will be most likely to result in the need being met. What can best be described as "attitude" was another too frequent cause of staff failure.

   In some instances in each part of the test, although staff incompetence or poor attitudes may have been the suspected cause, the test did not definitely establish that fact. If, for example, a staff member tells the patron that a certain item or piece of information is not available, regardless of how unlikely this may seem, it can only be assumed that it is not, in fact, available, unless one has hard evidence to the contrary. Thus, there undoubtedly were more staff failures than are shown by the data.

4. The performance of the State Library as a backup for both system and nonsystem libraries was less than satisfactory.

5. A formidable array of rules, regulations, procedures and resource choices, varying widely from library to library, was encountered throughout the test.

Implications

The implications of the facts revealed by the test range much more widely than do the findings themselves. Without overreaching the data, however, some of the more important implications are as follows:

1. The need for extensive backup collections, with a structured relationship to the borrowing library, is reaffirmed by the test. It is also clear that, if a question such as was used in Part III of the test were to be pursued in depth, it would be almost essential to have access to academic and/or special libraries.

2. The relatively superior fill rate and fill time of systems over the State Library in the test indicates that under present conditions, the systems are definitely able to perform more effectively in the backstopping role. It cannot be concluded from this evidence, however, that there is some intrinsic advantage in the present system structure over a more highly centralized backup arrangement. It would be necessary to study, among other things, the conditions which caused the State Library to function less effectively, whether its performance could be improved and at what cost and the comparative advantages of alternative backup arrangements.

3. The test inescapably forced one's attention again to the maze of library agencies and arrangements in California which have been created to fill some piece of the backup function, usually on a regional basis. While there are obvious virtues in involving many libraries geographically related to each other, those virtues must be balanced against the uneven performances turned in by the libraries in the reference test.

4. It is probably inevitable in loosely structured library systems that each system have its own rules and procedures, especially governing ILL and ILR requests. While these are often designed to accommodate special local problems and conditions and may serve a useful purpose, they frequently build in delays and frustrations for the library user.

5. With a few exceptions, the test showed a pressing need to improve on delivery time. For some users, a reasonable delay is probably not important but, for many others, an inordinately long waiting period is equivalent to not meeting their need at all. One of the most important questions to be answered, because of its bearing on the deployment of resources in a Statewide plan, is the extent to which geography is a fixed factor in delivery time. Where a long waiting period is really unavoidable, it is essential that the user be kept informed of the status of his request.

6. Although the test did not probe as extensively as one might have wished into the existence and use of bibliographic tools (such as union catalogs) to assist local libraries in the use of wider area resources, there were examples where

the process could have been expedited by existing tools (but were not), and others where the process was undoubtedly frustrated by lack of them. Characteristically, what tools of this nature are available are not comprehensive nor systematic in any sense. Solutions to this problem are not often feasible at the local level; they must come from systems and networks on a substantial regional basis and from state and national governments.

7. The very serious problem of staff competence (basic attitudes, professional knowledge and expertise, ability to communicate with users and to exploit the system and network potential, etc.) is one that is amenable to in-service training, superior leadership and monitoring. Much of that responsibility will necessarily remain with the local community libraries, but the magnitude of the problem suggests that an organized effort by the profession as a whole is required. A parallel and fundamental need – perhaps, the place to start – would seem to be to give more attention to the defining of objectives, at all library levels, with an extensive involvement of staff in that process.

8. It is important to note that, whereas the reference test does point to some advantages of membership in the public library systems now in existence, those advantages are limited chiefly to access to wider collections and to the communication and delivery systems now in operation.

   Although, in a few instances in the test, networks having a larger base than the typical public library system were tapped, it must be kept in mind that the test did not get deeply into the very important question of serving the more sophisticated information needs of the professions, government, industry, etc., and how this level of library needs relates to the public libraries and public library systems.

9. In at least one instance, the test showed that a danger to which systems are susceptible is the creation of a procedural morass which can come between a user and what had previously been for him a simple and direct transaction. While it is possible that the simplest approach for the user may, with a higher volume of use, become quite intolerable for the libraries involved, a solution which is intolerable for the users is also quite unacceptable.

10. Finally, with all due respect to the very real limitations of the reference test, the results do suggest that it would be unrealistic to assume that large numbers of persons will seek to meet their information needs where the expectation of success is no higher than it proved to be in most of the libraries in the test. Even more seriously, unless the case for support of public libraries rests on other services where the measurable rate of user satisfaction is higher, the prospects for increased funding are not bright if the quality of performance demonstrated in this survey cannot be significantly improved.

We wish to take this opportunity to thank those who unknowingly participated in the test, and to apologize for the necessity of being less open than we would have liked to be in conducting the survey.

CHAPTER 6
PROGRAM ACTIVITY AND COSTS

This chapter reports the results of an intensive data collection effort conducted during the four-month period from September 1, 1974 through December 31, 1974 to record activity, cost and selected performance data relating to system programs. The purpose of this data collection effort was to produce a comprehensive data base from which an analysis of systems' program effectiveness, unit costs, cost variances, sources of financing, etc., could be made.

Instructions for this data collection effort, including definitions, forms and procedures, are presented in Appendix F of this report.

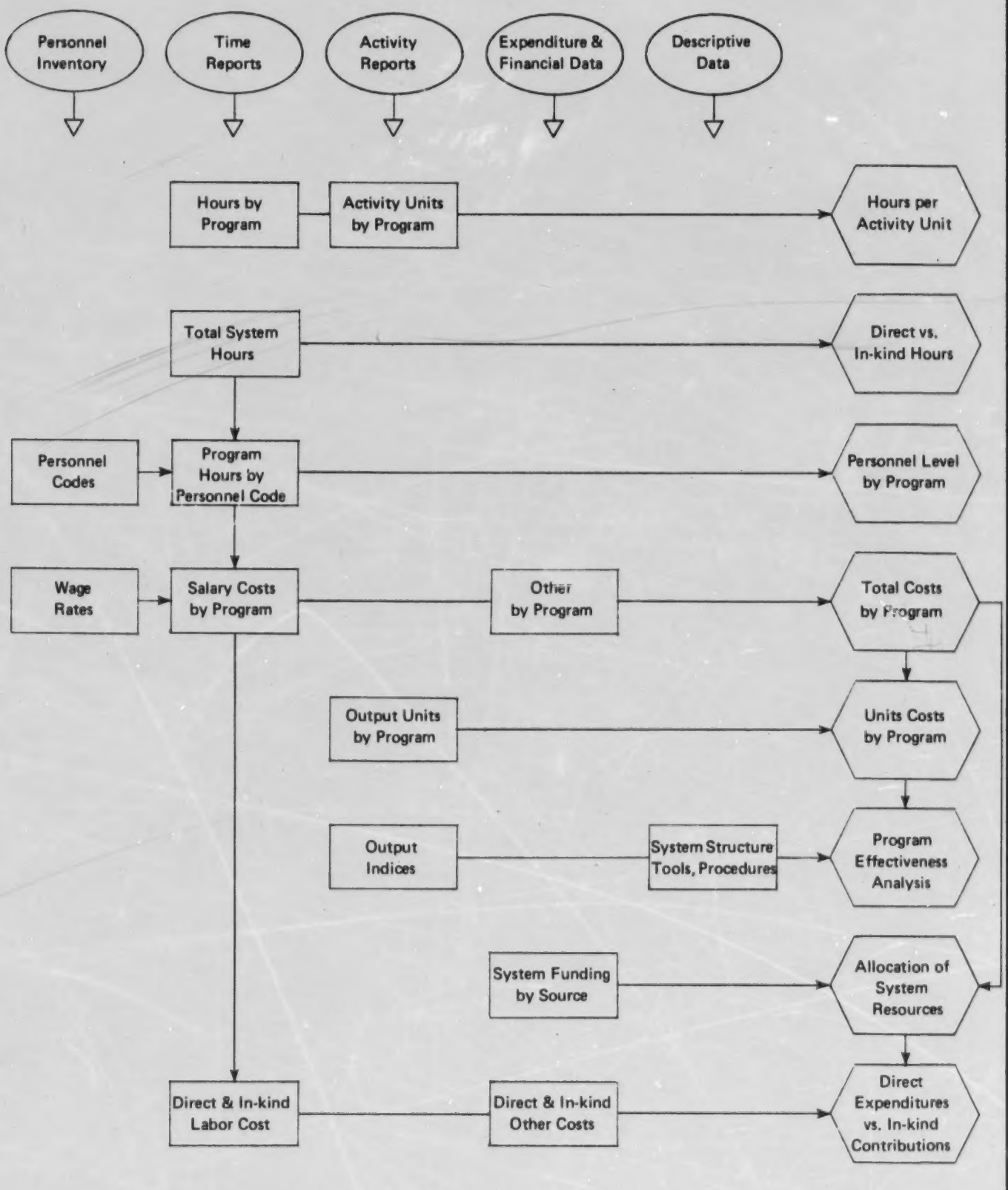
This comprehensive data collection effort provides significant insights into California's public library systems and system programs. While the design and overall coordination of the data collection was provided by the consultants, with counsel from the Systems Study Task Force, most of the burden of this effort fell upon the system and member library personnel, who patiently reported their time, activity and cost data on literally thousands of pages of data forms and reports, at an estimated cost to the systems of over $50,000 over the four-month period.

Several notes of caution regarding the data are appropriate. Even though great precautions were taken to ensure the accuracy and comparability of the data, several factors – the number of libraries reporting their data, the problem of defining programs in terms universally acceptable to all participants, the complexity of the Interlibrary Loan (ILL) and Reference (ILR) programs, and finally the element of human judgment – have undoubtedly led to errors and inconsistency in the reporting of data. As a result, while we believe the general comparability and accuracy of the data to be quite high, the reader should not draw any conclusions based on the assumption of decimal point accuracy.

Since the purpose of the study is to analyze system performance in general, and not to invite invidious comparisons system by system, the identities of individual systems have been coded in the tabular data summaries. Alphabetic codes from A through O have been randomly assigned to the multijurisdictional systems. Similarly, codes from P through T have been assigned to single jurisdictional systems. (System administrators have been informed of the code for their own system only so that they may identify and compare their data with that of the others.)

EXHIBIT 6-1

HOW THE DATA WERE COMPILED



The following paragraphs provide (1) an overview of how the data was compiled and synthesized, (2) analyses of the various system programs, and (3) a summary of system costs and resources.

HOW THE DATA WERE COMPILED

This section summarizes the major elements of the data collection program, and describes how each of the data elements relates to the others in the evaluation of system programs.

Four basic types of data were reported by the systems as part of the data collection program – personnel inventory, time reports, activity reports and cost data (system expenditure and financial reports). Appendix 6-A contains the definitions, forms and procedures used by the systems in reporting program data. In addition, descriptive data concerning the systems' structure and procedures was collected as required to augment the analysis. The diagram on the facing page traces the flow of data synthesis leading to the development of various indices used in program evaluation.

The personnel inventories compiled by the systems summarized the qualifications, experience, primary responsibility area and salary rate for each person involved in system activities. From this data, the personnel classifications were developed which, when combined with the time reports, provide an indication of the level of staff applied to a particular program. Also provided were the wage and salary data necessary to compute the labor cost component of the system programs. Separate wage rates were developed for each system, by program, based on weighting the salaries of the individuals reporting hours to the programs.

Time reports, summarizing the hours spent on each system program by person, were submitted on a weekly basis by the systems. By itself, this data provides a comparison of the system direct hours (reported by system employees) and the in-kind hours (reported by employees of member libraries) devoted to each of the programs. More importantly, the hours data provides the basis for developing other performance measures, when used in conjunction with other data elements.

Activity data were collected for a majority of the system programs on either a weekly or a monthly basis. The activity data quantified, in standard units of measure, the input, output and transactions counts for the various programs. This data, used in conjunction with hours and cost data, provided time and cost per unit of output indices. These indices provide the basis for evaluating system and program effectiveness at various cost and activity levels.

EXHIBIT 6-2

INTERLIBRARY LOAN

PROGRAM DATA SUMMARY
(September - December 1974)

System	Patron Requests	Original Requests (1)	Total Transactions (2)	Total Hours	Personnel Code	Trans Per Orig Req	Hours Per Trans	Hours Per Orig Req	Patron Req Per Orig Req	Total Program Cost	Cost Per Orig Req (3)
A	14,091	15,196	32,814	4,572	1.67	2.16	.14	.30	.93	$ 31,711	$ 2.09
B	2,907	3,772	12,618	2,493	1.37	3.35	.20	.66	.77	15,833	4.20
C	5,714	6,972	36,196	4,108	1.32	5.19	.11	.59	.82	34,650	4.25
D	3,025	4,011	5,221	1,740	1.34	1.30	.33	.43	.75	10,305	2.57
E	5,218	7,357	30,164	2,213	1.32	4.1	.07	.30	.71	16,690	2.27
F	13,372	14,131	114,287	11,604	1.58	8.09	.10	.82	.95	89,594	6.34
G	2,663	2,857	3,084	3,159	1.58	1.08	1.02	1.11	.93	16,942	5.93
H	612	943	1,703	325	2.67	1.81	.19	.34	.65	NA	NA
I	9,314	9,725	33,337	3,245	1.25	3.43	.10	.32	.96	20,454	2.10
J	4,131	5,370	16,252	3,500	1.45	3.03	.22	.65	.77	20,879	3.89
K	4,606	5,707	11,805	3,573	1.65	2.07	.30	.63	.81	33,716	4.68
L	20,264	22,425	35,181	7,163	1.35	1.57	.20	.32	.90	39,089	1.74
M	3,096	4,341	19,292	2,322	1.44	4.44	.12	.53	.71	15,795	3.64
N	19,102	21,636	96,123	5,552	1.42	4.44	.06	.26	.88	45,412	2.10
O	6,330	7,156	17,034	3,438	1.68	2.38	.20	.48	.88	19,492	2.72
Multijurisdictional Total	114,445	131,599	465,111	59,007	1.48*	3.53*	.13*	.45*	.87*	$ 410,562	$ 3.03*
P	10,065	11,501	34,093	5,322	1.56	2.96	.16	.46	.87	$ 33,224	$ 2.89
Q	17,551	19,532	25,079	4,167	1.59	1.28	.17	.21	.90	25,597	1.31
R	3,912	4,307	11,767	1,439	1.57	2.7	.12	.33	.91	12,291	2.85
S	29,638	35,524	119,980	23,752	1.65	3.38	.20	.67	.83	297,869	8.38
T	40,243	41,583	143,095	18,745	1.06	3.44	.13	.45	.97	123,868	2.98
Single jurisdictional Total	101,409	112,447	334,014	53,425	1.43*	2.97*	.16*	.48*	.90*	$ 492,849	$ 4.38*

(1) Original Requests are the total number of new requests received by the system from either patron, network or nonmember libraries.
(2) Transactions refers to the number of times the request is forwarded within or outside the system.
(3) Excludes costs of library materials purchased during four-month period.
* Weighted average (above footnotes).

The expenditure and financial data reported by the systems at the end of the four-month period provided the basis for developing program costs. In addition to the total salary expense for direct system personnel, which provided a check on the systems' direct labor cost, other direct expenses and in-kind contributions were reported by program. The nonlabor costs (such as library materials, office supplies, equipment depreciation, etc.), both direct and in-kind, accounted for about 42% of the systems' total program costs. The financial data included a breakdown of the systems' funding by source, which, when compared with the systems' total program costs, supported the level of expenditures reported, as well as providing the basis for analyzing system funding.

The descriptive data collected from the systems included the scope of system programs and their structures and procedures for processing loan and reference requests.

THE RESULTS BY PROGRAM

In the following pages a summary is provided of the activity and cost data obtained for each identified program category.

Interlibrary Loan (ILL)

Nearly one-third (31.4%) of the total costs reported by multijurisdictional systems were for ILL. The ILL program was defined to include interlibrary requests for the loan of materials which must be returned, unless filled with a photocopy in lieu of loan. In addition to the hours reported by system and member library personnel, activity logs were maintained at all loan desks throughout the system. The activity logs reported, on a weekly basis, the number of ILL requests received and processed, the number of transactions required, and either how the requests were filled or where unfilled requests were forwarded outside the system.

Interloans (loans between branches of the same member library) were excluded for multijurisdictional systems, whereas loans within single jurisdictional systems, if they occurred between branch and regional or system headquarters, were considered as interlibrary loans. Hence, while comparisons among multijurisdictional systems are in order, and single jurisdictional systems can be compared with one another, no comparisons are appropriate between the two types of systems with respect to volume, cost or other measures.

As shown in Exhibit 6-2, the following data and indices were compiled for each system: number of patron requests, number of original ILL requests, total number of transactions, total hours reported to ILL program, average level of personnel applied, number

of transactions per original request, labor hours per transaction, labor hours per original request, patron request per original request, total program costs and cost per original request. Additional factors considered for each system, but not shown in the exhibit, included: the nodal structure and number of tiers (see explanation of "nodes" and "tiers" below) for processing requests, the existence and location of system union catalogs, whether the system operated in an urban/suburban or rural area, the number of titles in the resource libraries and an approximation of the percentage of requests filled within system resources. A summary of the major indices is presented in the following table.

ILL Program Summary Data

	Multijurisdictional system		Single jurisdictional system	
	Average	Range	Average	Range
Transactions per request	3.53	1.08 – 8.09	2.97	1.28 – 3.44
Labor hours per request	0.45	0.26 – 1.11	0.48	0.21 – 0.67
Personnel code*	1.47	1.25 – 2.67	1.42	1.06 – 1.59
Cost per request**	$ 3.03	$ 1.74 – 6.34	$ 4.38	$ 1.31 – 8.38
Fill rate within system	60%	–	84%	–

*Clerical, 1.0; junior professional, 2.0; senior professional, 3.0

**These costs include communications and delivery, but exclude bibliographic tools and library materials.

The search for useful generalizations from the ILL data began with hypotheses formulated on the basis of common sense and intuitive judgment, tested by analyzing the data and indices for support. Thereafter, we reversed the process, examining the data for implicit relationships that suggested correlation of two or more factors. The following paragraphs summarize the more significant of these analyses.

It was hypothesized that the existence and dissemination of a *union catalog* of system holdings would reduce the number of transactions and/or the total hours required to fill an ILL request. To test this notion, the number of transactions per original request and the hours per original request were compared for systems with and without union catalogs. Of the 15 multijurisdictional systems, six have some form of union catalog other than the Statewide Union List of Periodicals. Two of these catalogs are in book form and at all locations; four are located at the systems' single node. The available data do not support the hypothesis that systems using union catalogs process ILL requests more efficiently. This was evidenced by the fact that the systems having the highest and lowest number of transactions per request both had union catalogs at their system headquarters. It does not follow, however, that a particular system would not benefit from the use of a union catalog.

It was also believed that there are "more efficient" and "less efficient" *nodal structures* for processing ILL requests. (Nodal structure refers to the pattern for routing requests between member libraries. For example, if all requests are forwarded from member libraries directly to system headquarters, the system has a single node structure.) Both transactions per original request and labor hours per original request were compared for groups of systems with different nodal structures. Six systems have a single node structure; four systems have a multinode structure; two systems have a no node or random structure; two systems have a chain structure where requests are forwarded to member libraries in a predetermined order; and one system cannot be uniquely classified because it is a two library system. The data do not indicate that there is a "most efficient" nodal structure for processing ILL requests. This conclusion may be the result of the small universe of available cases for each of the structures.

Next, it was considered whether some combination of nodal structure and the existence of union catalogs resulted in greater efficiency in the processing of ILL requests. Analysis of the data revealed no apparent relationships; however, the number of available cases of each combination was so small that a valid conclusion could not be reached.

To determine whether the *level of personnel* processing ILL requests affected performance, a personnel code was developed for each system based on the level of personnel charging time to the ILL program. This code is the weighted average of the following values: clerical personnel, 1.0; junior professional, 2.0; senior professional, 3.0. The personnel codes range from 1.25 (mostly clerical) to 2.67 (mostly senior professional) for the ILL program. The personnel codes were then compared with the hours per original request for each system. Based on this analysis, there does not appear to be any relationship between the level of personnel processing ILL requests and the efficiency with which they are filled.

To test for *economies of scale* in ILL, average labor hours per transaction were compared for groups of systems with similar transaction volumes. As the volume of transactions increased, it was expected that the hours per transaction would decrease. The hours per transaction ranged from 0.06 to 1.02. The following summary indicates that economies of scale do exist for ILL transactions. It should be noted, however, that there were considerable deviations from the mean in each group of systems.

Interlibrary Loan, Labor Hours per Transaction

Number of systems	Transaction volume	Average labor hours per transaction
3	Under 10,000	0.51
6	10,000 – 25,000	0.19
7	25,000 – 40,000	0.14
4	Over 40,000	0.12

A similar analysis was conducted to relate the overall efficiency of the systems' ILL procedures with their volume of transactions. The volume of transactions was compared with the average labor hours per original request. The hours per request ranged from 0.26 to 1.11. As shown in the following summary, there is a relationship between processing efficiency and the volume of transactions, within a certain range.

Interlibrary Loan, Hours per Request

Number of systems	Transaction volume	Average labor hours per request
3	Under 10,000	0.63
6	10,000 – 25,000	0.55
7	25,000 – 40,000	0.36
4	Over 40,000	0.55

It should be pointed out that there were no systems with transaction volumes between 40,000 and 95,000. This quantum jump in transaction volumes may explain the discontinuity of the relationship.

An analysis of *"fill rate,"* the percentage of requests filled within the system, shows that a direct relationship apparently exists between the fill rate and the volume of requests. Systems with the highest number of requests typically have the highest fill rates. Whether or not this relationship is due to a higher percentage of less difficult requests could not be determined. It may be that demand increases in direct proportion to success or fill rate.

The *unit cost* (cost per ILL request) averaged $3.03 for multijurisdictional systems and $4.38 for single jurisdictional systems. The figures for individual systems are presented in Exhibit 6-2. Similar analyses to those using hours per request were made treating unit costs as the dependent variable. Due to the high correlation between unit costs and hours per request, the results of these analyses closely parallel those previously reported in this section.

EXHIBIT 6-3

INTERLIBRARY REFERENCE

PROGRAM DATA SUMMARY
(September - December 1974)

System	Patron Requests	Original Requests	Total Transactions	Total Hours	Personnel Code	Trans Per Orig Req	Hours Per Trans	Hours Per Orig Req	Patron Req Per Orig Req	Total Program Cost	Cost Per Orig Req
A	339	344	495	454	2.20	1.44	.92	1.32	.99	$ 4,005	$ 11.35
B	224	225	552	91	2.3	2.45	.16	.40	1.0	9,740	12.18
C	464	508	1,200	975	2.68	2.36	.81	1.92	.91	9,698	15.15
D	1,691	3,625	3,627	3,176	2.31	1.01	.88	.88	.47	26,112	7.20
E	294	337	821	910	2.5	2.44	1.11	2.70	.87	14,026	26.78
F	419	470	1,541	1,245	2.77	3.28	.81	2.64	.89	23,578	26.76
G	129	147	158	238	2.69	1.07	1.51	1.62	.88	12,375	15.85
H	63	118	NA	NA	NA	NA	NA	NA	.53	NA	NA
I	328	348	897	656	2.18	2.58	.73	1.88	.94	10,471	17.27
J	445	579	1,019	641	2.66	1.76	.63	1.11	.76	7,735	10.71
K	784	807	1,484	776	2.3	1.84	.52	.96	.97	8,457	7.57
L	649	695	1,133	711	2.46	1.63	.63	1.02	.93	11,640	12.43
M	525	585	1,606	1,495	2.73	2.75	.93	2.56	.90	17,189	25.11
N	251	259	281	44	2.40	1.08	.16	.17	.96	473	1.83
O	629	647	1,033	814	2.01	1.60	.79	1.26	.97	15,216	21.92
Multijurisdictional Total	7,234	9,694	15,847	12,226	2.45*	1.65*	.77*	1.28*	.75*	$ 170,715	$ 12.60*
P	1,087	1,088	1,876	742	1.94	1.72	.40	.68	1.00	$ 10,609	$ 5.55
Q	1,797	2,152	3,170	872	1.82	1.47	.28	.41	.84	5,901	2.63
R	1,396	1,397	2,218	196	2.2	1.59	.08	.14	1.00	6,478	1.44
S	24,889	27,151	36,634	10,640	2.16	1.35	.29	.39	.92	236,592	6.73
T	2,640	2,974	6,188	1,658	2.03	2.08	.56	.56	.89	86,080	27.26
Single jurisdictional Total	31,809	34,762	50,086	14,108	2.11*	1.44*	.28*	.41*	.92*	$ 345,660	$ 8.98*

* Weighted average.
See footnotes to Exhibit 6-2

In summary, there is no evidence in the four-month Statewide data that the existence of a system union catalog reduces the number of transactions required to fill an ILL request or the time required to do so. There is no correlation of fill rate with size of collection as measured by the number of titles in the largest library. The data indicates no correlation of efficiency with nodal structure, nor is there any correlation of efficiency with a combination of nodal structure and a union catalog. There is no evidence that using a higher percentage of professional personnel will increase the efficiency of processing ILL requests. There is some evidence in support of economies of scale: the greater the transaction volume, the less labor hours per transaction (and hence the less cost). This in turn translates fairly well into efficiency correlated to volume, as measured by labor hours required to fill a *request*. Systems with the highest volume of requests typically have the highest fill rates. Perhaps the most significant finding is the lack of support for the most obvious hypotheses.

However, the data also suggest other interesting possibilities. During the four-month period there were 465,111 ILL transactions in the multijurisdictional systems and 334,014 in the single jurisdictional systems, for a Statewide total of 799,125 ILL transactions. On the other hand, *requests* totaled 240,046 for the four-month period Statewide. *Total requests filled* with systems resources equaled 173,414 during the four-month period compared to the transaction total of 799,125. Looking to the future, an interesting question of library service management arises: Is there some way that the number of "fruitless" transactions can be reduced without unduly straining the large libraries? During the four-month period, the labor cost of the 625,711 fruitless transactions approximated $488,000 Statewide, which on an annual basis could represent as much as $1,400,000.

Interlibrary Reference (ILR)

The second largest share of multijurisdictional system dollars (13.1%) was allocated to the ILR program. An ILR request was defined as an interlibrary request for information (not materials) that may be filled verbally, by teletype, by photocopy, or subsequently by library materials. Activity logs and weekly reports of ILR activity were maintained in a fashion similar to those for the ILL program in that they reported the number of requests, how they were filled or forwarded and the number of transactions required to process them.

As shown in Exhibit 6-3, the following data and indices were compiled for each system: number of patron requests, number of original requests, total number of ILR transactions, program total hours reported, average level of personnel applied, number of transactions per original request, hours per transaction, hours per original request, total program dollars and program dollars per original request. Additional factors considered for

each system included the nodal structure and number of tiers for processing requests, and an approximation of the percentage of requests filled from system resources. A summary of the major indices is presented in the following table.

ILR Program Summary Data

	Multijurisdictional system		Single jurisdictional system	
	Average	Range	Average	Range
Transactions per request	1.65	1.01 – 3.28	1.44	1.35 – 2.08
Labor hours per request	1.28	0.17 – 2.70	0.41	0.41 – 0.68
Personnel code*	2.45	2.01 – 2.77	2.11	1.82 – 2.20
Cost per request**	$ 12.60	$ 1.83 – 26.78	$ 8.98	$ 1.44 – 27.26
Fill rate	77%	–	63%	–

*Clerical, 1.0; junior professional, 2.0; senior professional, 3.0

**These costs include communications and delivery, but exclude bibliographic tools and library materials

As with the ILL program, analysis of the ILR data was undertaken to test hypotheses and to look for correlations present in the data. The following paragraphs summarize the findings of these analyses.

The efficiency of the systems' nodal structure for processing ILR requests was evaluated by comparing both the hours per original request and the cost per original request for systems with similar structures. Neither of the analyses indicates that a particular structure is more efficient than the others. As with the ILL program, the sample size for each structure was too small to yield conclusive results.

It was observed that there was virtually no correlation between the number of transactions per original request and the hours per original request. Analysis of the link between the two, hours per transaction, yields a range of 0.08 to 1.51 hours per transaction with a significantly high standard deviation. This indicates a high degree of variability among systems in time being applied by individuals in processing the ILR requests.

This observation led to the notion that there might be a relationship between the utilization of external resources (e.g., network, State Library) and the amount of system effort applied. The percentage of requests forwarded outside the system was compared with the hours per request for each system. The findings indicate that there is a direct relationship. That is, systems forwarding a greater percentage of requests outside the system have typically applied more effort in exhausting the systems' resources prior to forwarding the request. This finding was confirmed by a separate analysis which indicates that as the ILR fill rate (from a system's own resources) decreases, the cost per request increases.

Unit costs for ILR requests averaged $12.60 for multijurisdictional systems and $8.98 for single jurisdictional systems. Additional analyses attempted to relate various system characteristics and indices with such measures of program effectiveness; however, no significant relationships were apparent.

As with the ILL program, there appear to be economies of scale in ILR transactions. As the volume of transactions increased, the hours per transaction decreased.

A breakdown of how ILR requests were filled by the systems is presented below:

	Telephone	Teletype	Photocopy	Materials
Multijurisdictional systems	43%	12%	24%	21%
Single jurisdictional systems	55%	1%	6%	38%

As in the case of ILL, an analysis of the fill rate shows a direct relationship to the volume of requests. Systems with the highest number of requests typically have the highest fill rates.

In summary, there is no evidence in the four-month Statewide data that there is a correlation of ILR service efficiency with any particular nodal structure. However, the four single jurisdictional systems with single reference centers fall well below the mean in cost per request. There is virtually no correlation evident between the number of transactions required to fill a request and the hours required to fill a request. There is a wide range from system to system in the time required per transaction. Systems forwarding a high percentage of requests outside the system also typically apply more effort than the average in exhausting the systems' own resources. As the fill rate decreases, the cost per request increases. Variation in unit cost of ILR requests does not appear to correlate with level of personnel used or availability of a union catalog. Fairly good evidence exists of economies of scale; for the most part, as volume of transactions increased, hours per transaction decreased. Fill rate tends to improve with volume of requests.

Bibliographic Resources

This program involves the development of collective location tools at the system level. Bibliographic resources were defined to include subject specialization lists, union lists, union catalogs and all collective records of system holdings in either card, book or microfilm form. Excluded from the program were activities associated with the development of shelflists, catalogs and indexes of the individual member libraries.

Although only seven multijurisdictional systems reported any form of union catalog of system holdings (other than the Statewide Union List of Periodicals), 11 of the multijurisdictional systems reported hours or other expenses against this program. Bibliographic resources for these systems represented 5.1% of their total system costs or $167,000 on an annualized basis. The percentage of multijurisdictional system cost extended from only 1% to nearly 28%, with no correlation to fill rate. Costs reported here do not include, of course, the substantial expense of maintaining the Statewide Union Catalog, the Statewide union list of serials or other bibliographic resources outside the systems.

For single jurisdictional systems, development of bibliographic resources represented 4.3% of total reported costs, over a range of 2% to about 8%. It is probably not appropriate to distinguish between the bibliographic resources of the system and those of the central library for single jurisdictional systems.

Aid in Materials Selection

This program involved activities designed to assist member libraries in selecting materials. Particular activities included the preparation of book reviews, purchase lists and attendance at book review/selection meetings.

Although 13 of the 15 multijurisdictional systems provided some form of materials selection assistance, the program accounted for less than 1% of their total costs. Total direct and in-kind hours averaged 40 per month per system. None of these systems allocated more than 3.3% of their resources to materials selection.

By comparison, the single jurisdictional systems spent 11% of their total costs on materials selection with no system below 8%. The average single jurisdictional system effort was over 2,000 hours per month, or 50 times as great as that of the multijurisdictional systems.

The figures for single jurisdictional systems represent the total time devoted to materials selection, whereas the multijurisdictional system figures represent only the amount of cooperative effort. It is reasonable to assume that the balance of the work is being done independently by the member libraries with significant duplication of effort and less than optimal collection building from a system standpoint. The degree to which materials selection should be a system activity is not at issue here, but the data suggest that substantial opportunities for coordination exist beyond current program levels.

Audio-Visual

The audio-visual (A-V) program was defined as a system-sponsored program to provide A-V materials to the member libraries. A-V materials included films, slides, filmstrips, records, cassettes and prints. Microforms were not considered A-V materials. Program activities included A-V center operation, cataloging of A-V materials, circulation controls, delivery and film circuit membership.

The systems were asked to report the following information on a monthly basis:

- Titles held at beginning of the month
- Titles added during the month
- Copies held at beginning of the month
- Loans of system A-V materials during the month
- Interlibrary loans of member A-V materials during the month
- Loans of A-V circuit materials during the month.

Considerable difficulty was experienced in applying the A-V program definition to the programs of the individual systems. Various systems reported that their A-V materials had been intermixed with member library materials and that the collections were being used in conjunction with other system programs. As a result, there was very little comparability in the data that was reported. This was due primarily to an inadequate, and perhaps, improper definition of the A-V program.

Recognizing the noncomparability of the programs and the inconsistencies in the data reported, we concluded that time and cost analysis of the data could yield erroneous and misleading findings. Hence, no comparative analyses of the A-V program were conducted, other than to note that the program represented 8.7% of multijurisdictional system costs and 2.6% of single jurisdictional system costs.

We believe that the scope of such a program should be limited to films because of their significantly higher unit cost and the unique circulating procedures that have evolved. With the increasing availability and decreasing cost of other A-V materials, it is our conclusion that they may more appropriately be handled in the same manner as circulating books.

EXHIBIT 6-4

CENTRAL CATALOGING

PROGRAM DATA SUMMARY
(September - December 1974)

System	Backlog (4 months)	Titles Received (4 months)	Titles Cataloging (4 months)	Total Hours	Personnel Code	Hours Title	Average Elapsed Time (months)	Total Dollars	Total Cost Title
A	6,203	6,878	5,814	4,374	1.65	.75	1.07	$ 26,008	$ 4.47
D	1,409	1,323	1,354	1,544	1.6	1.14	1.04	9,216	6.81
I	544	1,809	1,261	743	1.68	.59	.43	4,656	3.69
L	5,493	3,613	3,372	1,417	1.08	.42	1.63	10,979	3.26
M	18,000	NA	5,746	1,409	2.37	.25	3.13	10,884	1.89
Multijurisdictional Total	31,649	13,523	17,547	9,487	1.67*	.54*	1.8*	$ 61,743	$ 3.52*
P	12,927	1,364	1,225	2,264	1.89	1.85	10.55	$ 16,846	$ 13.75
Q	16,388	6,221	4,440	12,193	1.42	2.75	3.69	77,894	17.54
R	16,988	4,644	4,380	5,013	2.1	1.14	3.88	51,262	11.70
S	NA	NA	10,450	25,423	1.33	2.43	NA	188,435	18.03
T	NA	NA	4,763	11,341	1.49	2.38	NA	65,928	13.84
Single jurisdictional Total	46,303	12,229	25,258	56,234	1.47*	2.23*	4.61*	$ 400,365	$ 15.85*

* Weighted average

Central Cataloging

Central cataloging was defined as a system-sponsored program to provide cataloging services for library materials to the member libraries. Program activities included catalog research, contract services, communications and preparation of catalog cards. Cataloging was separated from processing (another program) because the output of cataloging should be measured in number of titles, rather than volumes, and because the staff requirements are different for the two programs.

One-third (five) of the multijurisdictional systems provide central cataloging in conjunction with a centralized processing center available to their members. Cataloging costs represent 10.7% of the total system costs for the five participating systems. All of the single jurisdictional systems, of course, have central cataloging. This program represents 7.9% of their system costs.

During the four-month period, the systems were asked to report the following data on a monthly basis:

- Backlog of titles at beginning of month
- Titles received during the month
- Titles cataloged during the month.

As shown in Exhibit 6-4, this activity data was combined with hours, cost and personnel data to develop the following indices of performance: personnel code, labor hours per title, average elapsed time and cost per title. The subsequent paragraphs summarize the findings of the program analyses.

As with other programs, an analysis was made to identify economies of scale. Labor hours per title was used as the measure of performance for the titles cataloged during the four-month period. Although no correlation was apparent to support the theory that systems cataloging more titles require less effort per title, another relationship was identified. The five single jurisdicational systems required a significantly greater number of labor hours per title cataloged than did the multijurisdictional systems. Single jurisdicational systems averaged 2.23 hours per title with a range of 1.14 to 2.75, whereas multijurisdictional systems average 0.54 hours per title with a range of 0.25 to 1.14. This variance is likely due to the fact that the single jurisdictional systems typically have larger central collections and must do more original cataloging.

The average elapsed time for cataloging a single title was determined by dividing the backlog of titles by the number of titles cataloged during the four-month period. Even though a small percentage of the titles cataloged (those requiring original cataloging) can distort this average, it is an important measure of the level of service being provided the member libraries. Multijurisdictional systems required an average of less than two months to catalog a title, and ranged from less than one-half month to slightly over three months. Of the single jurisdictional systems reporting, the average time to catalog a title was in excess of four months.

Perhaps the most comprehensive measure of cataloging performance is the cost per title cataloged. Multijurisdictional systems averaged $3.51 per title with a range of $1.89 to $6.81. Single jurisdictional systems averaged $15.85 per title with a range of $11.70 to $18.03. Again, this variance may be due to the greater percentage of original cataloging done by the single jurisdictional systems.

An interesting relationship was identified for the single jurisdictional systems – the cost per title cataloged decreased as the personnel code (average staff level) increased. This relationship was also apparent for four of the five multijurisdictional systems. The reason may be that, although more highly trained professionals are paid more, the speed with which they are able to make the cataloging judgments more than compensates for the higher pay rate.

Because of the different cataloging resources employed by the systems, the number of variable factors involved and the relatively small sample size, the data do not support meaningful conclusions concerning the most effective cataloging structure or procedure. The evidence is clear, however, that cataloging is an inherently time-consuming, and therefore expensive, effort. To the extent that there is any unnecessary duplication of cataloging effort, whether within the State or between the State's libraries and externally available catalog copy, it rapidly consumes scarce dollars. The importance of reducing the elapsed time presently required for cataloging is discussed under central processing.

Central Processing

Central processing was defined to include the receiving, jacketing, labeling, covering and delivery of library materials for member libraries. Materials selection and purchasing were excluded from the program, as was cataloging.

The same five multijurisdictional systems performing central cataloging also offer central processing to their members. Central processing accounts for 14.6% of the total system

EXHIBIT 6-5

CENTRAL PROCESSING

PROGRAM DATA SUMMARY
(September - December 1974)

Systems	Backlog (4 months)	Copies Received (4 months)	Copies Processed (4 months)	Total Hours	Personnel Code	Hours Per Copy	Average Elapsed Time (months)	Total Dollars	Total Cost Per Copy
A	24,397	23,276	21,127	1,999	1.33	.09	1.15	$ 30,444	$ 1.44
D	1,906	2,099	2,414	381	1.6	.15	.79	2,314	.96
I	2,033	2,044	2,463	222	1.97	.09	.83	1,591	.65
L	28,541	24,143	25,100	3,694	1.0	.15	1.14	21,846	.87
M	40,000	NA	43,569	5,470	1.22	.13	.92	28,570	.66
Multijurisdictional Total	96,877	51,562	94,673	11,766	1.2 *	.12*	1.02*	$ 84,765	$ .90*
P	5,221	25,052	18,575	8,474	1.35	.46	.28	$ 50,097	$ 2.70
Q	93,436	35,183	39,719	7,089	1.15	.18	2.35	44,803	1.13
R	13,333	9,625	12,167	1,365	1.5	.11	1.10	12,769	1.05
S	184,000	90,687	82,329	21,132	1.0	.26	2.23	480,784	5.84
T	NA	NA	46,583	37,048	1.0	.80	NA	200,904	4.31
Single jurisdictional Total	295,990	160,547	199,373	75,108	1.06*	.38*	1.94*	$ 789,357	$ 3.96*

* Weighted average

costs for the five systems, or approximately 40% more than the central cataloging program for these systems. Processing accounts for 15.5% of single jurisdictional system costs.

The same activity data was reported by the systems on a monthly basis as for cataloging, except that the units of measure for processing were volumes or copies rather than titles. Exhibit 6-5 presents the detailed data for the processing program, including the following performance measures: personnel code, labor hours per copy, average processing time and cost per copy.

Potential economies of scale were analyzed by relating the processing hours per copy to the volume of copies processed. With the exception of two single jurisdictional systems, there was little difference in the labor hours per copy over a wide range of volumes. The multijurisdictional systems averaged 0.12 hours per copy within the rather narrow range of 0.09 to 0.15. Single jurisdictional systems averaged 0.38 hours per copy, but the individual systems ranged from 0.11 to 0.80.

Another measure of performance, the average elapsed processing time, was computed by dividing the backlog by the number of copies processed. The elapsed processing times averaged one month for multijurisdictional systems and about two months for single jurisdictional systems. These averages and the range (one to ten weeks) were much lower than those for cataloging. These findings lend quantitative support to the notion that cataloging remains the bottleneck of technical processing. Further, they indicate that efforts to improve the service of processing centers should focus first on cataloging activities.

Central processing tasks are more dependent on manual dexterity than on professional training. It was interesting to note, however, that although several systems had a personnel code of 1.0 (all clerical) the range went as high as 1.97 (junior professional).

As with cataloging, processing costs varied considerably. Multijurisdictional systems averaged $0.90 per copy within a range of $0.65 to $1.44. Single jurisdictional systems averaged $3.96 per copy within a range of $1.05 to $5.84. The high variance between the two types of systems is not readily explained, except by concluding that the data were not reported on a comparable basis.

Staff Development

Staff development was defined to include all systemwide activities directed toward the development of professional or clerical staff. Program activities included in-service training, professional library maintenance and the development of, presentation to and staff attendance at system workshops.

Staff development programs were reported by all five of the single jurisdictional systems and 11 of the 15 multijurisdictional systems. Single jurisdictional system costs averaged 3.5% of total system costs and ranged from 1.4% to 5.8%. The program accounted for 2.6% of the total costs of the 11 multijurisdictional systems reporting staff development activity. Within these eleven systems, staff development costs ranged from 0.1% to 11.1% of system costs.

In addition to their time and expenditures data, the systems were asked to report separately the time devoted to developing staff training programs and the total attendee hours. Sixty-one meetings or workshops were either held or attended by staff of the 11 multijurisdictional systems during the four-month period. These programs required 680 hours of preparation and generated 2,900 hours of attendee training, resulting in an average cost per attendee hour of $9.40. The four single jurisdictional systems reporting activity data spent 800 hours developing 52 programs during the same period and generated 9,700 hours of attendee training, resulting in an average cost per attendee hour of $9.70.

Analysis of the staff development data highlights the diversity of approaches to staff development taken by the individual systems – some emphasizing in-service training, others developing their own training materials and programs and still others participating in cooperative and network programs.

Because of the diversity of programs, it was not feasible to evaluate or compare specific program costs or effectiveness.

Outreach

Recognizing that the scope and objectives of the outreach programs varied from system to system, the goal of the data collection effort was to determine the overall importance of this program relative to other systems programs. Systems were asked to report all time and costs charged to system-level outreach programs, and to describe the target group to be served.

System-level outreach programs have been implemented to extend public library services on a systemwide basis to many special groups throughout the State. Some of the target groups of current outreach programs include the following:

- Migrant farm workers
- The aged

- Institutionalized persons
- Minority groups.

In total, 12 of the 20 systems reported active outreach programs during the data collection period at a total annualized cost of nearly $1,400,000. The cost of the outreach program to the five single jurisdictional systems represented less than 7% of their total costs, whereas the seven multijurisdictional systems with active programs allocated 24% of their resources to outreach programs. Not included here are costs incurred for such programs at the local level, no doubt of a substantial magnitude.

Publicity and Public Relations

This program was defined as system-sponsored activities for publicizing system and member library services. Specific activities included the development of brochures, posters, billboard material and public service announcements that were not a part of other defined programs (i.e., that were of a general nature).

Nine of the multijurisdictional systems reported data for publicity and public relations activities. The average program accounted for approximately 0.5% of the system's total costs. No multijurisdictional system allocated more than 1% of its expenditures to this program.

Four of the five single jurisdictional systems spent an average of 2.5% of their total expenditures on publicity and public relations. The range was from 1% to over 8%.

As with the materials selection program, the data for the two types of systems probably reflect the difference between total effort (single jurisdictional) and cooperative effort (multijurisdictional). We surmise that a major portion of publicity and public relations expenditures were reported as part of other specific system programs, and that would be appropriate wherever the effort was expended on behalf of a specific program rather than on behalf of system activities in general.

Other Program

The "other" program was provided as an undefined category for systems to use in reporting data for a particular system program other than those defined in Appendix 6-A. By definition, the use of "other" program was limited to a single major program that involved a substantial amount of the systems' resources.

Nine of the multijurisdictional systems and four of the single jurisdictional systems elected to report data for an additional program. (One system reported separate data for three other programs.) The "other" programs included: central purchasing, minority recruitment, children's programs, cooperative circulation, bookmobiles (other than outreach), government documents, reference planning and development and a last copy retention program.

The nine multijurisdictional systems applied an average 5.9% of their resources to ten "other" programs. The four single jurisdictional systems applied an average 10.8% to six such programs. Topping the list in percentage of systems cost were a reference project and central purchasing. Because of the diversity of program objectives, it was not feasible to compare the relative performance of the programs.

System Administration

This program was defined as the administrative activities performed *for the system.* Typical activities for this program included coordination of system programs, grant application, bookkeeping and committee work. Specifically excluded were administrative activities of the member libraries.

System administration accounted for just over 9% of the multijurisdictional system dollars, with a range from 3% to 19%. Single jurisdictional systems averaged 14%, with a range from practically nothing to 24%. It should be noted that administration is a function of organizational structure and that making a distinction between system administration and member library administration was particularly difficult, and of questionable significance, for the single jurisdictional systems.

Program Data Collection

A separate program was provided for reporting significant increments of time required by the data collection effort described in Appendix 6-A. Hours and cost data were to be reported against this program only by system and member library personnel responsible for coordinating the data collection effort and submitting reports. Time required for completion of the individual time records and activity logs was considered insignificant and, therefore, was not to be reported.

As noted earlier in this chapter, the data collection program cost the systems approximately $50,000 of their own resources. The average annualized cost was less than $700

EXHIBIT 6-6

PERCENTAGE OF SYSTEM DOLLARS BY PROGRAM
(September - December 1974)

System	Total Cost	ILL	ILR	Bibliographic Resources	Materials Selection	A-V	Cataloging	Processing	Staff Development	Outreach	Publicity PR	Other Program	System Administration	Data Collection	Unallocated	Total
A	$ 127,417	24.9%	3.1	.5	2.7	.4	20.4	23.9	-	-	-	7.0	13.1	.2	3.8	100.0
B	61,821	25.6	15.8	-	.8	7.2	-	-	.2	25.2	.8	19.0	4.7	.5	.2	100.0
C	65,555	52.9	14.8	-	2.0	3.7	-	-	3.3	-	.7	-	17.2	.9	4.5	100.0
D	102,396	10.1	25.5	2.1	1.1	5.5	9.0	2.2	1.2	34.2	.3	.6	4.7	1.5	2.0	100.0
E	65,219	25.6	21.5	-	.2	11.9	-	-	.5	25.8	.4	5.9	6.3	1.0	.9	100.0
F	154,302	58.0	15.3	3.7	.3	2.7	-	-	3.3	-	-	1.7	9.6	.8	4.6	100.0
G	32,367	52.3	38.2	2.5	-	-	-	-	-	-	-	-	6.6	-	.4	100.0
H	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
I	99,227	20.6	10.6	.7	1.3	22.2	4.7	1.6	.4	15.0	1.0	-	19.3	1.6	1.0	100.0
J	69,427	30.1	11.1	7.6	.6	-	-	-	.7	30.6	.2	.4	15.6	.6	2.5	100.0
K	138,467	24.3	6.1	1.1	.3	25.6	-	-	11.1	.1	.4	14.3	13.9	.5	2.3	100.0
L	130,131	30.0	8.9	11.5	.1	7.6	8.4	16.8	.1	.4	.8	.5	5.0	.4	9.5	100.0
M	120,338	13.1	14.3	3.1	.8	14.9	9.1	23.7	1.4	14.7	-	-	3.3	.2	1.4	100.0
N	73,396	61.9	.6	27.7	.1	-	-	-	-	-	-	-	7.9	.4	1.4	100.0
O	66,438	29.3	22.9	.3	3.1	5.2	-	-	.5	23.8	.7	8.0	4.2	1.6	.4	100.0
Multijurisdictional Total	$ 1,306,501	31.4%	13.1	4.3	.9	8.7	4.7	6.5	2.1	10.5	.4	4.1	9.6	.7	3.0	100.0
P	$ 286,642	11.6%	3.7	5.9	7.9	1.7	5.9	17.5	5.8	6.5	2.7	4.2	10.9	2.3	13.4	100.0
Q	276,828	9.3	2.1	1.9	9.4	1.8	28.1	16.2	4.7	4.2	8.5	3.2	6.7	.8	3.1	100.0
R	154,121	8.0	4.2	5.2	10.8	1.4	33.3	8.3	1.4	21.4	-	-	-	.8	5.2	100.0
S	2,824,049	10.5	8.4	2.4	11.7	1.5	6.7	17.0	3.0	7.8	3.0	11.5	10.3	.7	5.5	100.0
T	1,541,819	8.0	5.6	8.0	10.6	4.8	4.3	13.0	4.1	3.6	.9	12.1	24.2	.8	-	100.0
Single jurisdictional Total	$ 5,083,459	9.7%	6.8	4.3	11.0	2.6	7.9	15.5	3.5	6.7	2.5	10.5	14.0	.8	4.2	100.0

to multijurisdictional systems and over $8,000 to single jurisdictional systems; in either case it amounted to about one-fourth of 1% of total expenditures. The above costs were reported during the four-month data collection period and, therefore, do not include the time and materials costs incurred by the systems for orientation (July and August) or reporting financial and expenditures data (January).

Unallocated

An unallocated category was provided for reporting resources applied to system programs other than those defined above, or to activities that did not relate to the defined programs. A few of the systems used the unallocated category to report data for additional "other" programs. Such data is reported as part of the "other" program throughout the report.

Unallocated costs averaged 3.0% of the total reported costs for multijurisdictional systems and 4.2% of total costs for single jurisdictional systems. They ranged from zero to over 13% of the total reported system costs.

SUMMARY OF SYSTEM COSTS

Total costs reported by multijurisdictional systems during the four-month period amounted to $1.3 million, representing an annual cost of nearly $4 million. For single jurisdictional systems, total system costs reported during the four-month period were $4.1 million, representing an annual expenditure of approximately $12 million. The individual programs accounting for this level of expenditure have been discussed in detail above. The following paragraphs and accompanying exhibits provide system-level summaries of program allocations, labor costs, other costs, system direct expenditures and in-kind contributions.

Exhibit 6-6 summarizes the allocation of total resources to the various programs by system. Percentages were used in this exhibit so that the *relative* levels of expenditure could be readily identified by the reader. Total costs for each system, and for the two types of systems, are also provided. (The costs of a particular program for an individual system may be calculated by multiplying the system's total cost by the appropriate program percentage. Total program costs for the two types of systems may be developed in the same manner.)

The allocation of system resources to the various programs was treated on an overall weighted average basis as part of the program analyses. Exhibit 6-6 provides this data on an individual system basis. Such data is supplied to facilitate further analyses of individual systems' allocations and ranking of program priorities.

SUMMARY OF COST ELEMENTS
(September - December 1974)

System	Labor Costs		Other Costs		Total Cost
A	$ 76,606	60%	$ 50,811	40%	$ 127,417
B	32,913	53	28,908	47	61,821
C	39,346	60	26,209	40	65,555
D	91,101	89	11,295	11	102,396
E	43,165	66	22,054	34	65,219
F	117,667	76	36,635	24	154,302
G	17,551	54	14,816	46	32,367
H	-	-	-	-	-
I	68,126	69	31,101	31	99,227
J	49,728	72	19,699	28	69,427
K	95,801	69	42,666	31	138,467
L	94,941	73	35,190	27	130,131
M	82,088	68	38,250	32	120,338
N	54,045	74	19,351	26	73,396
O	44,581	67	21,857	33	66,438
Multijurisdictional Total	$ 907,659	69%	$ 398,842	31%	$ 1,306,501
P	$ 246,516	86%	$ 40,126	14%	$ 286,642
Q	230,212	83	46,616	17	276,828
R	128,365	83	25,756	17	154,121
S	1,402,583	50	1,421,466	50	2,824,049
T	1,149,414	75	392,405	25	1,541,819
Single Jurisdictional Total	$ 3,157,090	62%	$ 1,926,369	38%	$ 5,083,459

Total cost for the multijurisdictional systems was $1,306,500. The 14 systems reporting costs averaged approximately $93,000 for the four-month period. The annualized level of expenditure ranges from less than $100,000 to over $460,000.

The single jurisdictional systems had a total cost for the four-month period of $5,083,500. These five systems averaged slightly over $1,000,000 each for the data collection period. The annualized expenditures for single jurisdictional systems range from $460,000 to nearly $8,500,000.

The wide range in single jurisdictional costs is attributable to several factors. First, the relative size of the systems ranges from nine to one in terms of total library budgets and eight to one in terms of populations served. Second, the scope of what were reported as system-level programs differs significantly among the systems. And third, the different organizational structures of the systems undoubtedly contributed to the lack of comparability in the time and costs reported.

Exhibit 6-7 summarizes the two major cost elements of the systems – labor costs and other costs. Labor costs reflect the time reported by both system direct and in-kind personnel during the four-month period. Reported hours were converted to dollars by using a specific wage rate computed for each program of each system. These wage rates were computed by using the average rates for the clerical, junior professional and senior professional personnel reporting hours to the various programs. The wage rates by personnel classification varied substantially from system to system, ranging from 23% below the mean to 49% above the mean.

Other costs include the system direct expenditures and in-kind contributions reported for library materials, operating expenses and equipment depreciation. The other costs reported by the systems were adjusted where necessary for unseasonal expenditures and to exclude in-kind contributions of library materials.

Labor costs represented 69% of the total costs of multijurisdictional systems and ranged from 53% to 89% for individual systems. Nonlabor costs averaged 31%.

The labor costs of single jurisdictional systems averaged 62% of their total costs; however, this average is skewed considerably by one system. As may be seen in the exhibit, four of the single jurisdictional systems reported labor costs as approximately 80% of their total costs. It is difficult, at best, to separate system costs from library costs for single jurisdictional systems and this is particularly true for their operating expenses. While the labor costs of system "S" were in line with those of the other systems, considering system size their other costs were significantly higher.

EXHIBIT 6-8

MULTIJURISDICTIONAL SYSTEMS

Direct Expenditures and In-kind Contributions
(September - December 1974)

Systems	Direct Expenses				In-kind Contributions				System Total
	Labor	Other	Total	Percent	Labor	Other	Total	Percent	
A	$),375	$ 33,692	$ 93,067	73%	$ 17,231	$ 17,119	$ 34,350	27%	$ 127,417
B	23,709	20,402	44,111	71	9,204	8,506	17,710	29	61,821
C	33,434	25,685	59,119	90	5,912	524	6,436	10	65,555
D	37,875	10,900	48,775	48	53,226	395	53,621	52	102,396
E	24,875	19,339	44,214	68	18,290	2,715	21,005	32	65,219
F	42,733	32,828	75,561	49	74,934	3,807	78,741	51	154,302
G	10,978	13,098	24,076	74	6,573	1,718	8,291	26	32,367
H	NA	NA	NA	NA	NA	NA	NA	NA	NA
I	38,578	26,089	64,667	65	29,548	5,012	34,560	35	99,227
J	20,779	16,991	37,770	54	28,949	2,708	31,657	46	69,427
K	66,209	36,710	102,919	74	29,592	5,956	35,548	26	138,467
L	54,977	27,432	82,409	63	39,964	7,758	47,722	37	130,131
M	48,400	26,900	75,300	63	33,688	11,350	45,038	37	120,338
N	0	15,678	15,678	21	54,045	3,673	57,718	79	73,396
O	23,565	21,857	45,422	68	21,016	0	21,016	32	66,438
Total	$ 485,487	$ 327,601	$ 813,088	62%	$ 422,172	$ 71,241	$ 493,413	38%	$ 1,306,501

An analysis of the total system costs reported by single jurisdictional systems was made by comparing their reported costs to their projected annual library budget (local sources of funds only). System-level costs ranged from 40% of the total library budget for system "S" to only 14% for system "Q," averaging about 32%. By contrast, a similar analysis of the total local library budgets for the five multijurisdictional systems with central cataloging and processing programs showed that these systems' total costs averaged only 6%, ranging from 3% to 9%. It is clear that single jurisdictional systems had a much more difficult time, and logically so, in determining which costs were system-level and which were local library-level.

The direct expenditures and in-kind contributions for the multijurisdictional systems are summarized in Exhibit 6-8. System direct expenditures accounted for 62% of the systems' costs; 38% of their costs were contributed on an in-kind basis by the member libraries. It should be noted that the system direct expenditures were partially funded (13%) by additional cash contributions and membership fees of the local libraries. The funding of system expenditures is discussed in Chapter 8.

Although labor costs represent 69% of multijurisdictional systems costs on a composite basis, they account for only 56% of the direct expenditures of the systems, whereas the majority of in-kind contributions, nearly 86%, are in the form of member library personnel applying their time to system programs.

CHAPTER 7
SYSTEMS FUNDING

This chapter presents an analysis of system funding, evaluating the adequacy of system finances relative to system objectives, performance and anticipated needs.

Following a general presentation of system funding, a number of questions included in the Request for Proposal for this study are addressed. These questions are:

- What is the relationship between local funding and the PLSA formula subvention, in meeting system objectives?
- Are system services adequately funded, including State, local and other sources of support?
- Is the PLSA formula suitable to the current objectives of systems?
- Is the PLSA formula as appropriate to single library systems as it is to multijurisdictional systems?
- Is the PLSA formula suitable to the objectives of the Act?

SYSTEMS FUNDING

The table below shows systems' funding by source for the fiscal year 1974-1975, as reported by systems at the conclusion of the intensive four-month data collection effort.

Public Library System Funding by Source

	State funds (PLSA)	Federal funds (LSCA)	Local funds collected	Estimated in-kind contributions	Total
Multijurisdictional (1)	$ 611,359	1,790,363	578,806	1,480,000 (4)	4,460,528
Single jurisdictional	279,201	340,242 (3)	(2)	14,631,000	15,250,443
Total	$ 890,560	2,130,605	–	16,111,173	19,710,971

Percentage Distribution of System Funding by Source

	State funds (PLSA)	Federal funds (LSCA)	Local funds collected	Estimated in-kind contributions	Total
Multijurisdictional (1)	13.7%	40.1%	13.0%	33.2% (4)	100.0%
Single jurisdictional	1.8	2.3 (3)	(2)	96.0	100.0

(1) Based on 14 systems reporting (data for Berkeley-Oakland Service System was not available).
(2) Local funds collected and in-kind contributions do not specifically apply to single jurisdictional systems; accordingly, all local contributions to system-oriented activities is shown in the in-kind column, but there is not a direct comparability between multijurisdictional and single jurisdictional systems' local funding.
(3) Excluding BARC and SCAN.
(4) Estimated in-kind contributions are based on annualized total in-kind contributions of multijurisdictional systems during the four-month period September-December 1974.

Four sources of system funds are shown: State funds, Federal funds, local funds collected and in-kind contributions. *State funds* represents the grants received by each system under the Public Library Services Act. The *Federal funds* includes grants made to systems under Titles I and III of the Library Services and Construction Act. While systems had received Federal grants from other sources in the past, none were reported for this fiscal year. *Local funds collected* includes system membership fees and other local sources of funds. To distinguish these local funds from in-kind contributions, only cash items were included. *In-kind contributions* represents the nonreimbursed contributions of member libraries' personnel time and operating expenses in support of system programs.

Placing an accurate dollar value on the in-kind contributions by member libraries is very difficult. The annualized estimates above are based on member libraries' time and materials charged to the list of system programs shown in Chapter 6, extended by weighted average salary rates for those employees.

Local Financing

Clearly, the highest portion of multijurisdictional system financing comes from local sources (over 46%). Local funds collected and in-kind contributions have been combined in analyzing the level of local funding, since more than a third of the cooperative systems relied solely on in-kind contributions by member libraries to carry on system activities, rather than collecting a system membership fee. For nearly all of the multijurisdictional systems, in-kind contributions represented well over half of the local support.

Seven systems collected membership fees from member libraries in the current fiscal year. Membership fees represent 87.6% of local funds collected, 11.4% of total multijurisdictional sources of funds. The formulas used to assess these membership fees were different in each system; however, most related to a simple or weighted average of one or more of the following factors:

- Population
- Volumes held
- Titles added
- Interlibrary loan requests
- Expenditures per capita
- Assessed valuation.

Federal Funding

Second to local sources of financing, Federal funds represented 40% of system funds for fiscal year 1974-1975. These funds were composed entirely of grants under Titles I and III of LSCA. In prior years, one system received a grant for an outreach program under another Federal program; however, this program is now funded by LSCA.

A high percentage of the Federal funds reported by systems financed system-sponsored joint programs with other types of libraries, and accordingly the benefits provided by these funds have been shared with libraries outside the system.

The fact remains, however, that Federal funds have supported a very large share of ongoing system programs. For the 14 multijurisdictional systems reporting their costs, direct expenditures (excluding in-kind contributions) during the four-month period September-December 1974 totaled over $800,000. Annualized, this represents nearly $2.5 million in direct expenditures for multijurisdictional systems. The total sources of funds which support these direct expenditures are only about $3 million (from the table on page 8-2). Obviously, the nearly $1.8 million of Federal funds reported has to be a primary source of support for these expenditures.

The uncertainty from year to year in the availability of Federal funding presents a major problem in the financing of system programs. Each year the systems must reapply to the

State Library for a new, extended or revised grant. Since the primary purpose of part of the Federal assistance is to "demonstrate" a program or project's benefits, the system cannot rely on Federal funds on an ongoing basis.

State Funds

Per capita grants from the State under PLSA account for approximately one quarter of the direct expenditures for the 14 multijurisdictional systems, and represent only about 14% of total sources of funds for those systems in fiscal year 1974-1975.

Since the level of State funding is calculated on a per capita basis, using the weighted population served by a system as the denominator, the amount which a system can receive in a given year varies as the population base changes. In addition, flat grants for new member libraries and library consolidations come out of the available State appropriation prior to the calculation of per capita grants. The combination of these two elements in the current formula produces a degree of variability which makes system budgeting (with respect to State aid) extremely difficult since the amount of the grant is not constant, nor does it vary with the level of system activity and frequently cannot be accurately projected in advance.

EVALUATION OF SYSTEMS FUNDING

Responding to the five questions presented at the beginning of the chapter, this section evaluates the current funding of California's public library systems.

What Is the Relationship Between Local Funding and the PLSA Formula Subvention, in Meeting System Objectives?

Assuming that the allocation of system resources to current systems' programs accurately reflects systems' objectives, the cost data from Chapter 6 provide a basis for comparing the relationship between system sources of funds.

Although there are no effective controls on the use of local and State funds, LSCA grants are typically designated for specific program areas. To the extent that it is possible to allocate the LSCA grants reported by the multijurisdictional systems to specific program areas, the relative proportion of each program's costs which is supported with Federal funds may be quantified. By dividing the remaining portion of program costs between State and local sources

in relation to their total shares of system funding, it is possible to compare the relative impact of each funding source on program support. The table below presents these relationships.

	Source of Funds		
	Federal	State	Local
Multijurisdictional systems:			
Resource sharing programs (1)	56.8%	9.9%	33.3%
Outreach	91.4	2.0	6.6
All other programs	28.2	16.4	55.4
Total support	40.1%	13.7%	46.2%
Single jurisdictional systems:			
Total support	2.2% (2)	1.8%	96.0%

(1) Resource sharing programs include interlibrary loan, interlibrary reference, audio-visual, bibliographic resources and materials selection.
(2) Excluding BARC and SCAN.

For multijurisdictional systems, the ratio of local funding, including both local funds collected and in-kind contributions, to State funding is about 3.4:1.

Because of the wide ranges in reported system costs and the effect of not including BARC and SCAN in the Federal funds received by single jurisdictional systems, a similar analysis of the relationship between funding sources and system objectives is not applicable. Since single jurisdictional systems typically reported a higher proportion of system costs, their local funding is proportionately greater. As a result, their ratio of local funding to State funding is about 50:1.

Are System Services Adequately Funded, Including State, Local and Other Sources of Support?

There are clear indications that systems have been underfunded:

- Most systems have not been able to afford development of basic tools – communications systems, location tools, procedures manuals, etc.
- The majority of systems do not have adequate system-level staff, and must rely on the contributed services of staff of member libraries.

- There are not sufficient funds available to permit systems to perform an adequate assessment of system needs or resources so as to plan and budget system activities effectively.

- Staff training in general, and particularly in the use of systems, is severely deficient, as demonstrated in the Reference Survey (Chapter 5) and this appears to be at least partly due to inadequate funding.

- No funds are available to reimburse large libraries for services to nonresident patrons.

Federal funding, the largest source of directly expendable system funds, has provided the impetus for most of the improvements in system services over the past few years. Since the data indicate a heavy reliance on Federal funds, what would happen to system service levels if Federal funds were sharply reduced, or ceased entirely? One can only speculate, but it seems safe to contend that some programs would have to be severely curtailed:

- Reference (ILR) backup would revert to the State Library

- Resource sharing and information networks would be eliminated

- Staff development programs would be sharply curtailed

- Many delivery and communications systems would be curtailed or eliminated

- Virtually all outreach activities would cease

- Film circuits would be forced to rely solely on local support.

Overall, the effect would be that the public libraries of the State would be forced to spend substantially more for an inferior standard of service.

Is the PLSA Formula Suitable to the Current Objectives of Systems?

Fundamentally, a per capita funding formula, the method used by the PLSA, is most appropriate for supporting standard programs whose costs are directly proportional to the size of the population they serve. This is obviously not the case with public library systems. Few of the system programs' activity levels vary based on population served; none varies solely on the basis of population. Furthermore, there are other factors affecting system demand and requirements – such as geography, education level, local library resources, etc. – that are at least as significant as size of population.

Is the PLSA Formula as Appropriate to Single Library Systems as It Is to Multijurisdictional Systems?

The answer to this question depends on an interpretation of the State's intent in providing funding to systems under the PLSA.

If the State simply intended to support the *development* of interlibrary cooperative programs, then the formula is totally inappropriate for single jurisdictional systems, since, as single library agencies, their programs are already developed at a consolidated level. This does not necessarily mean that the formula is appropriate to multijurisdictional systems (whose programs required development). It can be logically argued that the multijurisdictional system program development is relatively independent of population size, the factor the formula uses to allocate funding.

If, instead, the intent of PLSA was to provide *ongoing* financial support for systems, then the argument can be made that the formula is more appropriate for single jurisdictional systems. The reasoning is that single jurisdictional systems do not have to incur the program development or administrative costs borne by multijurisdictional systems, and therefore, their activity levels and program costs are more a function of population than those of multijurisdictional systems. But a population-based formula, even with the adjustments it makes for sparsely populated areas, does not recognize the variations in local library resources, the costs of program development and administration and the relationship between fixed and variable program costs.

In either case, these factors make the funding formula inappropriate for both types of systems, but probably even less appropriate for multijurisdictional than single jurisdictional systems.

Is the PLSA Formula Suitable to the Objectives of the Act?

The specific objectives of the Public Library Services Act are not given in the Act, but it is fair to assume that the following are realistic statements of the Act's objectives:

- "... encouraging the development of public library systems which would
  - (1) Establish, improve, and extend library services
  - (2) Establish library systems in areas where such cooperation would facilitate improved library services

- Oppose the removal of the government and administration of public libraries from local control
- Encourage adequate financing of public libraries from local sources with State aid only as a supplement to local support
- Make no requirements, as a condition for receiving aid, concerning library equipment, nonbook services, or particular book or periodical titles
- Devise a set of standards or requirements for systems and member libraries which improve the quality of library services."[1]

To meet these objectives, the Legislature declared its intent to "distribute . . . grants to library systems by a formula that recognizes factors of need, ability and effort. *Need* is recognized by basing the distribution, in part, on the population served by library systems and by allowing special weighting for low density of population. *Ability* is recognized by adjusting the population estimates by the relative standing of such systems with respect to assessed valuation per capita. *Effort* is recognized by establishing as a qualification for receiving a grant a minimum level of local support, expressed either as a tax rate or as an amount of expenditure per capita, and by establishing minimum standards of service."[2]

Clearly, the common element in the PLSA funding formula is population. Is population a realistic index to use in determining a system's need?The development of system programs, especially in multijurisdictional systems, is relatively independent of the size of the population to be served. Moreover, in many cases, the fixed program costs and even some of the variable program costs are also independent of population.

The measures of ability and effort also related to population in the funding formula are appropriate if, and only if, the State's policy is to supplement local funds in the financing of public library systems. These measures would ensure equalization only if State funding were keyed to the level of local funds collected and expended at the system level.

* * * *

In conclusion, it is fair to state that the current PLSA funding formula is not consistent with the systems' objectives, and does not encourage attainment of the Act's objectives.

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1 Public Library Services Act (Education Code, Sections 27111 – 27146)
2 Public Library Services Act (Education Code, Sections 27111 – 27146)

The level of funding from all sources for system support has largely been inadequate for systems to develop efficient programs or meet a uniform standard of performance. Service levels are seriously threatened by the uncertainty in future LSCA funding, and a major decline in this source of funds could dramatically curtail system programs.

CHAPTER 8
CONCLUSIONS

This chapter provides our summary evaluation of system programs and funding. To a great extent it draws upon what we judge to be the most significant of the findings reported in the preceding five chapters; to a lesser degree, previously unreported data are introduced as appropriate.

PROGRAM EVALUATION

Most systems have not set program objectives with sufficient specificity to permit performance to be measured in relation to plan.

As stated in Chapter 4, most systems reported that the only written statements of goals and objectives that had been produced at the system level were the system Plan of Service and the annual priorities statement in the PLSA grant application. These statements have not been specific enough to permit a comparison of actual achievements or levels of activity with targets set at the beginning of the year. It was necessary for the purposes of the study to develop program definitions, to associate with them appropriate measures of performance where possible and to collect activity data related to these measures.

The implied criticism of systems for not specifying objectives more precisely and for not usually collecting the data in a form well-suited to measuring performance in relation to objectives must be muted in part by the observation that such is the rule, not the exception, in libraries generally in the United States.

The systems have met a substantial public need, especially with respect to access to resources.

The PLSA requirement of equal access (Section 27131(a)) has guaranteed that the resources of all system member libraries are available to patrons on an equal basis.

In the areas where systems have concentrated the majority of their resources, the ILL and ILR programs, they have clearly demonstrated that a significant demand for materials not found in the local public library exists. This "interlibrary demand" during the four-month data collection period is shown on the following page.

Interlibrary Demand by Type of System

	Number of requests (4 months)		% State population
	ILL	ILR	served
Multijurisdictional systems	131,600	9,600	67.5%
Single jurisdictional systems	112,400	34,800	32.5%

Annualized, this level of demand could be restated as about 30 ILL requests per thousand population for areas served by multijurisdictional systems, and about 50 per thousand for single jurisdictional systems. For ILR, these numbers are considerably lower, about two and 16 per thousand, respectively, for multijurisdictional and single jurisdictional systems. Clearly, however, this level of demand is highly significant.

Generally the public library systems have the firm support of member libraries.

To measure the participating libraries' satisfaction with systems and system services, a number of questions of opinion were asked during the field interviews. The responses to these questions indicate that while system members typically rate the system as effective in providing wider availability of materials and information, some significant problems also exist. These system shortcomings can be traced in part to the level of external funding and to the imbalances in local cost-sharing resulting from the equal access (reciprocal borrowing) provisions in PLSA.

We found no existing system-level studies in California measuring patron satisfaction or program effectiveness which could be used in developing an index of satisfaction. As a result, the measures of satisfaction presented in this section rely solely on the responses to questions asked during the interviews.

Member library representatives were asked during the interview to compare patron service before and after joining the system. The responses are summarized in the table below.

Member Libraries, Satisfaction with System Services

Rating	No. of responses	% of total
Much better	24	73%
A little better	7	21%
About the same	2	6%

The dominant response that patron service was much improved as a result of system affiliation is an important indication that member libraries believe in the systems concept.

In their responses to the questions:

- Which are the most valuable system services?
- Which services would you least want to give up?

it is very clear that, in the minds of member library representatives, resource sharing is the key ingredient of systems. Over two-thirds of the responding member libraries selected programs involving resource sharing – ILL, ILR, equal access (reciprocal borrowing), audio-visual or delivery/communications in their answers to these two questions. (Tabulations of these responses are shown in Exhibits 4-4 and 4-5 in Chapter 4.) It was shown in Chapter 6 that these priorities correspond closely with actual expenditures by systems. This correspondence undoubtedly accounts for the satisfaction of member libraries with system services in spite of inadequate funding. In contrast, other services were sometimes the source of dissatisfaction: about 40% of the member libraries of systems with processing centers felt that technical services could be performed best locally.

When asked if they could perform any system services more effectively or less expensively on a local basis, over 70% of system members said "no." We consider this a significant endorsement of systems. Only about 20% of member library respondents felt that they could outperform the system locally. Of these dissenters, over 80% identified the system processing service as the source of their discontent.

To the question, "Do you feel that the funds spent on system services, your proportionate share, could be better used if they came directly to your library as a cash payment?", two-thirds of the member libraries responded that they could not. This question offered another opportunity for dissenters to express their true feelings, and the result again was an endorsement of cooperation.

Nearly unanimous dissatisfaction was expressed with the level of system funding, it being described as the major system problem. Several themes were repeatedly voiced in the interviews: (1) the level of State funding has not been increased as system members expected it would be; (2) system programs and service levels must be adjusted annually in relation to available Federal and State funding, without regard to the need for the service; (3) there are significant imbalances among member libraries' in-kind contributions and nonresident usage within a given system.

System members, then, have given systems a vote of confidence. Many of those interviewed volunteered that the increased level of expectation and quality of service resulting from the development of cooperative systems could not be provided today if public libraries had to rely solely on their presystem backup, the State Library. Although great dissatisfaction with system funding exists, the responses to other questions indicate a strong endorsement for public library systems.

Systems leaders have exercised good judgment in committing over half of their scarce funds to resource sharing programs.

The primary goal of California systems has been to provide for the sharing of resources on an areawide basis. Data are not available on all aspects of such sharing (e.g., the volume of walk-in service provided nonresidents) but the substantial ILL and ILR volume cited above demonstrates a high level of demand. As shown in Chapter 6, ILL and ILR activity consumed 44.5% of system dollars during the data collection period. When the audio-visual and bibliographic resource programs are added, the result is that more than half of the expenditures go to resource sharing efforts.

Analysis of cost and activity data lends little support, if any, to the "conventional wisdom" concerning the tools and structure required for a successful interlibrary loan program.

As Chapter 6 reports, no evidence was found that the existence of a system union catalog reduces the number of transactions required to fill an ILL request or the labor hours required to do so. There is no correlation of fill rate with size of collection as measured by the number of titles in the largest library. The data show no correlation of efficiency with any particular nodal structure. There is no evidence that using a higher percentage of professional personnel increases the efficiency of processing ILL requests.

There is distinct evidence of economies of scale in both ILL and ILR programs.

As the volume of transactions increases, the hours of effort (and hence the cost) per transaction decline, as shown in Chapter 6.

A key factor in the improvement of interlibrary loan appears to be the reduction in the average number of transactions required to fill a request.

On the average, in the multijurisdictional systems, 3.53 transactions are required per original request, as shown in the four-month study reported in Chapter 6. The comparable figure for single jurisdictional systems is 2.97. The annual labor cost alone of ILL transactions which fail to produce the requested item is estimated at about $1.4 million.

Unit costs of ILL and ILR in California multijurisdictional systems do not compare unfavorably with costs reported elsewhere.

Comparisons here are fraught with risk since (a) in the absence of detailed information on the cost allocation methods used elsewhere, we are not entitled to assume that they conform to those used in this study, and (b) in a period of rapid inflation, the date of the cost calculation is almost as critical as the method. With these disclaimers in the foreground we can report that BARC in 1973 figured its average cost per reference question at $15. The average figured for ILR calculated for multijurisdictional systems, as shown in Chapter 6, is $12.63.

A study conducted in 1971 -- three and one-half years before the data collection period reported herein -- by the Association of Research Libraries gives a figure of $4.67 for a "filled loan request" in a sample of large academic libraries. The cost per ILL request for California systems, as reported in Chapter 6, is $3.03.

Systems are meeting a very significant volume of demand for materials not found in the patron's home library. At the same time, it is equally clear that systems alone cannot satisfy the demand for materials not found in local libraries.

These twin conclusions are supported both by the experience of the Reference Survey (Chapter 5) and the fill rate data reported in Chapter 6.

The need for extensive backup collections with a structured relationship to the borrowing library was reaffirmed by the Reference Survey.

Multijurisdictional systems are currently giving insufficient attention to coordination of collection building.

The current fill rate within multijurisdictional systems is 60%, according to the data collected in the four-month period. The question arises as to whether this can be improved and at what cost. One logical route for improvement is to place more emphasis at the system level on coordinating collection building to meet interlibrary demand. There is no reason to believe that the fruits of such cooperation have yet ripened. We found in our field interviews that,

although most systems recorded in their Plan of Service an endorsement of coordinated collection building at the system level, in fact most have not effectively done so.

Likewise, the opportunities which systems provide for employing such techniques as rotating collections and pool collections to increase the range of materials directly available for browsing and borrowing by readers in community libraries are not being exploited.

The public libraries sampled did not perform well on reference service to patrons. Member libraries of systems perform better -- though not outstandingly so -- than nonmembers.

These are the major findings of the Reference Survey reported in Chapter 5.

The results of the Reference Survey provide substantial evidence of the need for staff development.

The survey revealed that too frequently the failure to satisy a patron request was not due to lack of access by the librarians to the resources needed for an adequate response, but rather the failure of the staff person -- whether through ignorance or lack of motivation -- to marshall the resources available, whether within the local library or via the system (Chapter 5).

There is much room for improvement in the speed of cataloging and processing services.

During the four-month period the average elapsed time for cataloging a title was about 54 days in multijurisdictional systems and about 138 days in single jurisdictional systems. The average elapsed time for processing a volume was about 31 days in multijurisdictional systems and about 58 days in single jurisdictional systems (Chapter 6). These findings indicate that cataloging remains the tightest bottleneck in technical processing.

Cataloging is an inherently expensive effort. Any unnecessary duplication of cataloging effort should be eliminated.

In the four-month period the cost per title cataloged in multijurisdictional systems averaged $3.51 per title with a range of $1.89 to $6.81. Single jurisdictional systems averaged $15.85 per title with a range of $11.70 to $18.03. Since cataloging is an intellectual activity requiring the time of a well-trained professional, there is of necessity a significant labor cost required per title. The only way it can be performed efficiently is to reduce to the minimum

the number of times that any given title is cataloged. Fortunately, efforts are now under way nationally and regionally which will eventually eliminate most local, system-level and perhaps even state-level cataloging. Systems should be encouraged to eliminate cataloging operations as soon as economical alternatives are available; for the multijurisdictional systems, at least, that time is fast approaching.

The performance of the State Library as an ILL/ILR backup for both system and nonsystem libraries appears to be less than satisfactory.

The time has come to seek an alternative to the present Statewide Union Catalog.

Response time for the State Library backup function continues to be unsatisfactory. Part One of the Reference Survey (Chapter 5) reveals that turnaround time for items filled within the system was significantly shorter than for nonmembers' requests filled by the State Library, roughly 12 days versus 17 days. One system reported independently that the average response time for a sample of 130 location requests sent to the State Library in February 1975 was 8.2 days, not counting Saturdays and Sundays. About half of these requests required five or more working days for a response.

Ten years ago the Martin-Bowler report questioned the ability of the State Library to act as a Statewide backup for public libraries, based on the perceived level of interlibrary demand in 1965. At 1975's actual level of demand, and with the decreased purchasing power of the State Library's acquisition budget, there is little argument that the State Library collection cannot alone provide the necessary backup for public library systems.

We now also question whether the Statewide Union Catalog maintained by the State Library is a viable alternative in providing backup location information on the holdings of other libraries.

First, libraries reporting their acquisitions to the catalog do not include the major research collections of the major universities. Moreover, as the larger participating libraries abandon catalog cards, it becomes increasingly inconvenient to report their acquisitions to the file.

Second, the degree of duplication in this catalog must be excessive. It seems doubtful to us that the occasional unique holdings reported by smaller public libraries justify the cost of including them in the union catalog.

Third, we received several reports of the union catalog's failure to provide location information for titles held by participating libraries. Whether the omission is the result of poor controls at the participating library level or at the State Library, the fact remains that the union catalog is not complete for the participating libraries.

When these considerations are added to the response delays reported above, we are driven to consider whether there are more adequate and possibly more economical alternatives. Such considerations are discussed in Part Two of the report.

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In the Request for Proposal, three questions were posed for the consultants, calling for an "Evaluative Statement" in response. In the paragraphs below we repeat the questions together with our answers.

"To what extent are the activities currently funded by the Act appropriate to the purposes of the Act?"

Since our funding analysis (Chapter 7) reveals that a substantial portion of system activities are funded from sources other than the PLSA, this question actually breaks into two parts, which we address below.

1. **What activities does the Act fund?**

   Under the assumptions developed in Chapter 7, the current application of State funds totaling approximately $612,000 (for 14 of the 15 multijurisdictional systems) by program is approximately as follows, based on the four-month expenditures data:

Program	Percent application of State funds
Resource sharing – ILL, ILR, audio-visual, bibliographic research, materials selection	49.0
Cataloging and processing	17.2
Systems administration	14.9
Other programs	6.4
Unallocated	4.7
Outreach	3.4
Staff development	3.2
Data collection	1.1
Publicity/public relations	0.1
	100.0

2. **To what extent are these activities appropriate to the Act?**

It appears to us that none of the activities listed are inappropriate to the Act. As we have indicated elsewhere, we believe that the concentration of funds in resource sharing is well advised.

"Given an overall philosophy of library service that focuses on bettering service to the individual citizen, do the activities currently funded by the Act relate to such a philosophy?"

We assume that the operative phrase here is "service to the individual citizen." That is, have the systems concentrated primarily on patron needs or have they been serving primarily the interests of the library profession or of member libraries? In our judgment the answer is very clear: better service to patrons characterizes the thrust of the great bulk of system activity. The best evidence of this is the large volume of reciprocal borrowing, interlibrary loan, interlibrary reference activity -- all generated by individual patrons -- and the commitment of the bulk of system funds to such resource sharing efforts. The relevant data are reported in Chapter 6 and summarized earlier in this chapter.

"How well have the purposes of the Act been accomplished?"

Overall, only moderately well. To answer the question, we turn here to the language of the Act, as we did in the preceding chapter, and summarize the findings of the study in each case.

PLSA Purposes Accomplished

Language of the Act	Accomplishments to date
"Encouraging the development of public library systems which would	Systems exist in all areas of State; most public libraries have joined
(1) Establish, improve and extend library services	Important services established and extended, especially resource sharing; quality and efficiency of services still seriously deficient (Chapters 5 and 6) partly due to inadequate funding
(2) Establish library systems in areas where such cooperation would facilitate improved library services"	Largely accomplished

Language of the Act	Accomplishments to date
"Oppose the removal of the government and administration of public libraries from local control"	Accomplished
"Encourage adequate financing of public libraries from local sources with State aid only as a supplement to local support"	Assessment of adequacy of financing of *local* libraries not within scope of study; in-kind contributions of local libraries to systems very substantial (Chapter 6); State aid supplement inadequate (Chapter 7)
"Make no requirements, as a condition for receiving aid, concerning library equipment, nonbook services, or particular book or periodical titles"	Accomplished
"Devise a set of standards or requirements for systems and member libraries which improve the quality of library service"	Have not been updated or monitored

It will be seen by studying the above summary that those objectives which can be achieved by *lack* of action have been more fully accomplished than those requiring affirmative support from the State.

FUNDING EVALUATION

The preceding chapter is devoted to system funding. Therefore, we will limit our observations here to a summary of major conclusions already reported and to other funding-related conclusions more suitable to the broader context of this chapter.

Systems have not been adequately funded.

Chapter 7 provides the basis for this conclusion.

Local and Federal funds are the chief sources of support for system programs.

Chapter 7 shows that in multijurisdictional systems the Federal Government currently provides 40.1% of support for system programs and local sources provide 46.2%, with the State share 13.7%. While the data for single jurisdictional systems are not comparable, it appears that the State share is even less in their case. In-kind contributions by member libraries currently account for about 38% of total expenditures in multijurisdictional systems.

If Federal (LSCA) funds were not available to systems, major program activities would have to be severely curtailed.

In Chapter 7 the severe impact of loss of Federal funding on important system programs is described.

Multijurisdictional systems have not taken the initiative called for by the PLSA in resolving inequities in service burdens resulting from imbalances in nonresident usage.

The equal access requirement in the PLSA has caused a great deal of concern in some systems. Many systems have failed to resolve this issue at a local level, and instead have sought State assistance in rectifying imbalances between member libraries.

Section 20200(c) of the Administrative Code defines the equal access requirement in the following way:

> "'Equal access' shall mean that all of the services of each library in a system are available on the same basis to all residents of the area served by the system. If after a period of not less than one year, a member library finds an imbalance of service and wishes to negotiate agreements or exchange of funds or establish individual user fees, the system shall amend its Plan of Service to incorporate the proposed changes."

The Administrative Code clearly delegates to the system and its member libraries the resolution of imbalances resulting from equal access. Several systems have performed analyses of intrasystem imbalances and as a result have implemented compensation programs to offset local imbalances. Each program has typically been designed to account for unique local circumstances and, as a result, there is no general formula that could be recommended Statewide.

A special problem arises when systems purposely create imbalances by using pooled funds to develop a "reader subject center" or system resource/area library. In a case where a deliberate imbalance is thus created by the system, it should be addressed by the system board as a distinct issue created by direct nonresident usage. Deliberate imbalances may be compensated for by using State funds granted to the system.

Where suspected imbalances exist, sampling techniques should be employed during fixed periods of time to measure nonresident usage. Following the measurement, imbalances

should be resolved at the local level by the exchange of funds between libraries or by other mutually acceptable means of compensation.

The requirement for equal access in the PLSA must necessarily be preserved as a condition for receiving the benefits of state funding, regardless of system or alternative structure. Resolution of imbalances, as provided in the Act, must come out of local consensus. Where local consensus cannot be reached, the State Library or an appropriate neutral party should arbitrate an agreement.

The funding formula employed by the PLSA is not well-suited to system programs, and is not well-suited to the objectives of the Act.

This argument is developed in Chapter 7.

GENERAL ASSESSMENT

Our most general conclusion from the data and reasoning presented in the preceding chapters is that public library systems in California have demonstrated a limited value under adverse circumstances. If improved funding were made available and were applied in rectifying shortcomings described earlier, the continuation of systems under PLSA would produce a continually improving level of service to the public. However, serious consideration should be given to alternative possibilities. If systems were more adequately funded, it is probable that substantially more funds would go to support system-level administration; experience elsewhere causes us to question whether such commitments to overhead are absolutely essential. Furthermore, since so much of the California effort is committed -- quite properly -- to resource sharing, it seems essential that possibilities should be explored in which the average number of transactions required to fill a request for interlibrary loan or interlibrary reference might be reduced, with attendant savings in time and cost. For these and other reasons, Part Two of this report is addressed to the evaluation of alternative possibilities.

PART TWO

THE NEXT DECADE: GUIDELINES AND ALTERNATIVES

CHAPTER 9
PROJECTED REQUIREMENTS FOR PUBLIC LIBRARY SERVICE

This chapter discusses the requirements for public library service in California during the next decade based on projected changes in three sets of indices:

- Indices of change in the characteristics of the population to be served by public libraries
- Indices of change in the ability of public libraries to meet anticipated demand
- Indices of growth in the level of interlibrary demand.

It is the third of these indices, measuring growth in interlibrary demand, which defines the role that public library systems or some alternative structure must play in providing public library service.

Based on these three sets of indices, a set of assumptions relating to annual requirements and levels of demand is developed for use in the recommended Statewide master plan and funding formula.

POPULATION CHARACTERISTICS

Changes in the general population served by the public libraries during the next decade may require changes in the overall structure for providing public library service. Indices describing changes in California's population – its size, geographic distribution, age distribution, education level, income level and tax shifts – are presented in this section, concluding with a discussion of the implications of these factors on changes in the demand for public library service.

Population

Traditionally used as a primary indicator of growth in the demand for public library service, California's population grew about 8.5% from 1967 through 1973. During this same period, circulation in California's public libraries grew only about 2.9% while interlibrary loan activity rose an estimated 42.6%. Changes in the age profile of the State's population were highlighted by a declining birth rate (a 13.5% decline in under age 5 population) during the period 1967-1973, accompanied by large gains in the number of persons over age 21, especially the elderly (a 17.3% increase in population over age 65).

During the next ten years, according to California State Department of Finance projections, California's population will grow an estimated 14.9%. Population distribution during this next decade is projected to continue its movement to suburban areas, and outside the central cities. Counties with over one-half million people in 1975 which are expected to exceed average growth during the next decade include Contra Costa, Orange, Riverside, Sacramento, San Bernardino, San Diego, Santa Clara and Ventura Counties. Large counties with below-average projected growth rates include Alameda, Fresno, Los Angeles, San Francisco and San Mateo.

Projected shifts in age distribution of California's population during the next decade are shown in the table below. An attempt was made to relate these shifts to changes in the demand for library service by projecting the possible users from each age group, using data developed by A. D. Little, Inc., in their study of the San Francisco Public Library System. To the extent that the age distribution of nonusers found in the San Francisco study is applicable Statewide, the data indicate that the projected 14.9% population growth could result in an increase in the number of library users of about 14.6% in the 1975-85 decade.

Age Distribution of Projected California Population

Age group	Estimated % of 1975[1] population	Estimated % of 1985[1] population	A. D. Little San Francisco study[2] Age group	% using library system
Under 5	8.9%	9.6%	5	–
5 – 14	17.6	16.7	5 – 12	14.5%
15 – 19	9.2	7.3	13 – 18	58.5
20 – 25	8.7	8.3	19 – 25	49.1
25 – 39	20.6	24.7	26 – 40	42.1
40 – 59	21.7	19.4	41 – 60	18.4
60 over	13.3	14.0	60	9.0

[1] California State Department of Finance: Population Projection for California Counties; 1968 Civilian Population Series II-D.

[2] Arthur D. Little, Inc. Library Service: San Francisco Public Library Users and Staff, December 1970.

Education

The education level of the population served by public libraries is considered by many experts to have a direct effect on the demand for library service. Not only does education level affect the number of visits typically made to public libraries, but it also affects the depth of the information sought. To the extent that these hypotheses are true, California's public libraries face a growing demand over the next decade.

During the period from 1967 to 1973 the percentage of California's population in schools grew from 28.9% to 31.9%, an increase of 10.4%. The percentage enrollment in higher education during this same period rose from 5.3% to 7.6%, an increase of over 40%.

In the decade 1960-1970, California's adult population median educational attainment level rose from a 12.1 to a 12.4 grade level. No official estimate is available on the future level of median attainment.

Tax Shifts

Accompanying the projected shifts in California's population – high suburban growth, moderate rural growth and low urban growth – will be a concurrent shift in both the requirements for new service facilities and the property tax base which supports public library service.

New construction, expansion or replacement of library facilities, coupled with the increased costs of construction and collection development to meet the upsurge in suburban housing starts and related population growth over the next decade, will exert a great deal of pressure on suburban tax bases.

Urban tax bases during the decade will be faced with continued erosion. Special groups in the urban areas – minorities, business, local government and the aged – will place increasing specialized demands on these public libraries.

Implications

Changes in the demand for public library service and the resultant pressures on the structure for providing library service may be summarized as follows:

- Population growth and educational levels will place increasing general demands on California's public libraries. A composite index of these two factors indicates that general demand will increase nearly 15% due to population growth alone, plus an additional increase due to the higher overall educational attainment of the population to be served. As a result, a projected growth rate of 15% in the demand for public library service over the next decade does not seem unreasonable.

- Population and tax shifts imply an increasing need for interlibrary resource sharing as the suburban movement continues. Coupled with this need for resource sharing is the concurrent need to preserve and build upon the strong

existing library collections to assure that on a Statewide basis, the maximum resource base may be maintained for the least amount of dollars. Deterioration of the existing collections of the major urban libraries would affect all of the State's library users.

MEETING THE DEMAND

The ability of public libraries to meet an increased level of demand in the next decade may be severely affected by changes in the indices which reflect the library's purchasing power. Indices which describe changes in public library revenues and expenditures, and the implications of these changes in meeting increased levels of demand are presented in this section.

Share of the Municipal Dollar

Support for library services as a percent of municipal expenditures in the U.S. declined from about 1.25% in 1967 to about 1.0% in 1973. During this period total municipal expenditures rose nationally over 97% while library expenditures rose only about 43%.

Library Costs – Labor

Public libraries are labor-intensive agencies. During the period 1968 through 1973, labor expenditures represented 65.8% of California public libraries' expenditures. By comparison, library materials and capital outlay represented only 15.2% and 9.7%, respectively, of total expenditures.

According to *The Bowker Annual*, the average salary index for starting library positions rose 26% during the period 1967-1972. An overall salary index for all public library personnel is not available, but it is reasonable to assume the index for all personnel, given a 24.6% increase in the cost of living (Consumer Price Index), kept pace with beginning salaries.

Although California public library expenditures rose 53% during the 1968-1973 period, it is estimated that increases in labor costs accounted for a significant portion of these additional outlays.

The prospects for reduced labor costs are limited primarily to savings resulting from increased productivity and efficiency (i.e., less staff per unit of service), since the inflationary pressures will largely offset increases in available revenues.

Cost of Library Materials

During the period 1967-1972, the cost as well as the volume of available library materials has grown dramatically. The table below summarizes the cost indices found in *The Bowker Annual* for various types of library materials.

Also shown on the chart is an index of the number of American book titles published annually. Finally at the bottom of the chart is an index representing the growth in per capita acquisition expenditures by California public libraries.

Library Materials Cost Indices by Year

Price indices	1967-1969	1970	1971	1972	1973
U.S. Periodicals	100.0	120.2	134.6	152.8	187.1
U.S. Serial Service	100.0	118.0	124.3	131.7	142.9
U.S. Hardcover Trade – Technical	100.0	132.9	151.0	148.1	139.1
U.S. Trade & Higher Priced Paperbacks	100.0	120.3	127.8	141.8	148.1
U.S. Mass Market Paperbacks	100.0	148.5	157.1	130.9	115.1
American Book Title Output	100.0	125.4	131.0	132.3	138.9
California Public Library acquisition $ per capita	100.0	123.8	128.5	138.1	153.3 (Est.)

The above indices show that while there has been slight decline in the price of hardcover trade and technical books and mass market paperbacks in the last year or two, most categories continue to rise, the number of available titles has continued to grow at more than 4% per year and the significant annual increases in the cost of periodicals show no signs of slowing.

Implications

If present trends continue, the ability of California public libraries to meet the growing costs of providing service will continue to deteriorate. Several implications of these trends in revenues, costs and available materials are apparent:

- The shrinking portion of public revenues which libraries are receiving must be expended increasingly effectively to maintain, and hopefully improve, existing service levels, in the light of increased library costs.

- The rising costs of nearly every component of library service may, without accompanying increases in effectiveness and resource sharing programs, cause significant declines in existing service levels.

- Public libraries will be pressed even harder than at present to justify their share of public funds. If the adverse trend is to be reversed, impressive and well-documented evidence of good quality and economical service will undoubtedly be required.

INTERLIBRARY DEMAND

In recent years, the level of interaction among public libraries in California, through public library systems and emerging intertype-of-library networks, has grown dramatically. The focal point of this growth has been the sharing of resources through cooperative structures.

For reasons cited elsewhere in this report, as well as the possible reason that this resource sharing has not been accompanied by strict accounting for and reimbursement of costs, there is not a great deal of comparable data from year to year on the volume of interlibrary demand among California public libraries.

The data that are available indicate that the volume of interlibrary activity is growing at a very high rate. Two types of data measuring interlibrary demand in California public libraries are available, the total interlibrary loan statistics reported in *News Notes of California Libraries* and data from the State's three resource backup centers, the State Library, BARC and SCAN.

Interlibrary Loans

Based on an analysis of the data reported in *News Notes of California Libraries* and the *Statistical Study of (California) Public Library Systems* (David Sabsay, 1969), an estimate of the 1967-68 Statewide average of interlibrary loans per 1,000 circulation can be developed. The 1967-68 estimate is compared to the Statewide averages for 1972-73 in the table below.

Interlibrary Loans among California Public Libraries

	ILL's per 1,000 circulation	% change
1967-68 est.	1.00	
1971-72	1.65	65.0% over 4 years
1972-73	2.21	33.9% in 1 year

The data above indicate that interlibrary lending has more than doubled in the five-year period from 1968 to 1973. Continued dramatic growth in this indicator of interlibrary demand is expected since the number of interlibrary loan requests in multijurisdictional systems alone during the four-month September – December 1974 period was over half the Statewide total of interlibrary loans made during 1973.

Backup Requests

A second index of interlibrary demand in California may be determined by comparing the volume of requests handled by the State's primary backup reference centers, the State Library, BARC and SCAN. Data for BARC and SCAN are reported on a calendar year basis and represent primary interlibrary reference requests; data for the State Library are reported by fiscal year. In addition, a crude indicator of interlibrary loan activity, author-title requests received by the State Library, is provided.

Total Requests Received

	1970	1971	1972	1973	1974
Interlibrary Reference:					
BARC	1,838	3,804	3,301	3,073	3,116
SCAN	2,656	2,789	3,010	3,377	3,505
CSL – Reference	7,616	9,850	9,876	10,918	8,967
Interlibrary Loan:					
CSL – Union Catalog	108,428	131,767	135,879	125,305	124,774

While the BARC and State Library data show dramatic increases in 1971, the five-year growth rates are as follows:

Percent Change 1970 – 1974

Interlibrary Reference:	
BARC	69.5%
SCAN	32.0%
CSL – Reference	17.7%
Interlibrary Loan:	
CSL – Union Catalog	15.1%

Demand upon the State Library for backup services has declined slightly since 1972. This may be explained by the emergence of public library systems to meet a growing portion of interlibrary demand and the service delays and collection deterioration of the State Library due, at least in part, to inadequate funding to perform its backup function.

Implications

The demand for interlibrary resource sharing, as measured by the data presented in this section, has grown dramatically in the last several years. Some of the implications of this trend are presented below:

- The most significant impact of the growth of interlibrary demand is that public library patrons are receiving, in direct proportion to the level of interlibrary activity, materials which they could not previously obtain from their public library.

- It must be assumed that formal cooperative structures, especially public library systems, have significantly contributed to the growth of interlibrary demand.

- Other trends which explain the growth in interlibrary demand include the rising educational level of California's population and the increases in the cost of providing public library service.

- In the future, if local library budgets continue to remain very tight, the natural growth of interlibrary demand will be further intensified by a shifting of load which might otherwise be met locally if acquisition budgets and staffing levels were growing. This may in fact explain some of the most recent rapid growth in interlibrary demand. There is an aspect of this demand which is highly cost-effective, because the cost of an interlibrary loan is much less than the cost of purchasing the average book. (The 1973 average price of a hardcover book was $12.20; this, of course, does not include the cost of cataloging and processing.) There is, however, a point at which this very efficient process will break down. That point is reached where the most heavily impacted lenders decide that they can no longer afford to carry the cost of the loans. It is essential then that interlibrary lending be properly funded before the breaking point is reached.

ESTIMATED FUTURE DEMAND

Having examined three quite different sets of indices, the question then arises as to whether the projection of demand for system services should rest on any one of these or on some combination of the three. We conclude that the best available indicator of demand for system services is interlibrary demand as reflected in interlibrary loan and reference requests. The use of general population or age level or educational attainment data carries with it the assumption that there is a correlation between those indices and demand for *system* services. Yet the evidence is decisive that this is not the case. It will surely be admitted that interlibrary loan activity is a direct and sensitive indicator of demand for system services, especially in the

California context in which resource sharing is the keystone. The data reveal that interlibrary loan volume is currently growing at a rate which bears no relationship to the relatively modest growth in the other indices.

The same line of reasoning leads us to discard indices related to library service demand as distinct from *inter*library service demand. While circulation totals (one rough indicator of demand for library service) have leveled off, interlibrary loan has escalated. There are no known statistics relating to demand for library service that correlate with demand for interlibrary service except interloan requests themselves.

This conclusion both simplifies and complicates the problem of projection – simplifies because it narrows the field to one indicator, complicates because of the condition of the available data.

We advise that, for the near term, a growth rate of 20% compounded annually should be employed for planning purposes until better data are available. Appendix H explains the calculation of this estimate. We also suggest that when sufficient data points are available as a result of scrupulous data collection, a three-year moving average be used as the basis for the annual estimate of growth.

CHAPTER 10
EXPLORATION OF ALTERNATIVE STRUCTURES

Following the evaluation of public library systems and projection of the requirements for public library service, the consultant was asked to define and explore alternatives to public library systems to meet the requirements for service over the next decade. These alternatives include the possibility of *substituting* new types of structures in place of existing public library systems, as well as the possibility of *augmenting* systems.

As part of the exploration of alternative structures, we interviewed representatives of a large number of nonpublic libraries (see Appendix G) and the administrators of many of the LSCA-funded intertype networks recently developed to augment public library systems. The purpose of this survey of nonpublic libraries was to determine their resources, capabilities and willingness to perform services, or to form cooperative structures for performing services, now provided by public library systems.

Several tentative formulations of alternatives were constructed in order to give some direction to the interviews and to help determine what information should be sought. As the inquiry proceeded, some options were closed off, while other were refined, as will become apparent later in the discussion.

This chapter contains four sections. *Requirements for Service* summarizes the needs which each alternative must satisfy based on the projections made in Chapter 9 and the evaluation of public library systems in Part One. *Definition of Alternatives* sets forth the preliminary set of alternative structures which were considered worthy of further evaluation. The third section outlines the results of the *Survey of Nonpublic Libraries* and the conclusions reached. *Evaluation of Alternative Structures* addresses the relative merits of each structure evaluated, and introduces additional alternatives identified during this process.

REQUIREMENTS FOR SERVICE

This section outlines the criteria – the needs and requirements – which any alternative structure, either in conjunction with or in lieu of public library systems, must satisfy.

Implicit in this exploration of alternative structures is the assumption that local public library agencies will continue to exist in their present form. It is not the intent of either the

needs definition or the statement of projected requirements to reflect in any on the adequacy or performance of the local public library agencies. Rather, the intent of these statements is to focus on the needs and requirements that arise from the dependence of public libraries on one another, and in turn their dependence on other types of libraries, to meet the service requirements of the public.

Definition of Needs

There are two primary areas of needs to which alternative structures must be addressed. The obvious requirement for any structure which would replace public library systems is the ability to provide for those basic programs and activities which are currently performed by public library systems. Since we have also concluded in our Evaluation (Part One) that by and large the systems have used good judgment in ordering their priorities among programs, special attention must be given to the ability of any alternative to fulfill high priority program needs. The second, and less obvious requirement, is that an alternative structure meet those needs which public library systems have not been able to satisfy. This second requirement is common to both replacement and augmenting structures.

Definition of the first of these needs categories is relatively straightforward. The current systems programs and their priorities were discussed in Chapter 4 and are summarized here in their approximate order of priority:

- **Resource sharing**
  - Equal access (reciprocal borrowing)
  - Interlibrary loan
  - Interlibrary reference
  - Audio-visual (films)
  - Bibliographic resources
  - Coordinated collection building/materials selection
- **Technical services**
  - Cataloging
  - Processing
- **Extension of services**
  - Outreach
  - Publicity and public relations
- **Coordination of system**
  - Administration
  - Staff development

Any alternative structure which could replace public library systems must be evaluated according to general program areas (e.g., resource sharing) and in some cases, specific system programs (e.g., interlibrary reference).

The second needs category, those needs which public library systems have not satisfied, requires a more careful definition. In Chapter 4, a number of needs which systems are not currently meeting are summarized in Exhibit 4-5. Generally, these needs fall into two categories: development of the system resource base and more system-level staff. Any alternative structure proposed must provide for the ongoing upgrading of its resource base and the staff required to function adequately.

In addition to the unmet needs above, several other types of future needs were identified in Part One of the study.

Specifically relating to the resource sharing programs, it was found that cooperative systems have filled, on the average, about 60% of interlibrary loan requests. In addition, the experience of the Reference Survey indicates the need for extensive backup collections with a structured relationship to the borrowing library. *One of the primary goals of any alternative structure should be the capability of providing backup to systems, or directly to public libraries, which will satisfy this portion of unfilled requests.*

The lack of staff training in systems has had some impact on their effectiveness. To the extent that the location of personnel involved in interlibrary activities can be concentrated and their duties more specialized, the more effective can be the staff development effort. The greater the number of personnel and locations involved in the process, the greater the staff development effort requirement. *The higher the degree of personnel concentration and specialization in a structure, the more attractive it is from a staff development standpoint.*

The data in Chapter 6 indicate that the most apparent cost savings in interlibrary loan would probably occur if the number of transactions could be reduced. Another analysis indicated that potential economies of scale exist with respect to processing interlibrary loans. *To the extent that an alternative structure can reduce the number of transactions required to fill a request, the greater its potential cost-effectiveness.*

The problems systems experience in accounting for and administering the in-kind contributions of member libraries toward the performance of system activities should be avoided if possible. *Alternative structures which require less reliance on in-kind contributions from participating libraries are easier to manage and to account for financially.*

Projected Requirements

Beyond the current programs and needs of public library systems, an alternative structure must meet the future requirements which systems face. These future requirements, based on the analysis presented in Chapter 9, relate to a projected growth in interlibrary demand of about 20% per year.

The requirement that this rate of growth of interlibrary demand placed on any interlibrary structure, and its long-term capacity for meeting this demand, must be carefully considered in evaluating alternative structures. *An alternative structure with the flexibility and capacity for meeting rapidly growing demand is required.*

Finally, new organization structures with attendant expense and delays should be avoided if possible. *Simplicity of implementation, with minimal disruption of existing patterns,* is another useful criterion in weighting alternatives.

DEFINITION OF ALTERNATIVE STRUCTURES

Prior to conducting the survey of nonpublic libraries, an initial set of alternative structures was formulated. Descriptions of these initial structures are provided in this section. Three of these structures took the approach of augmenting public library systems; two of the structures replaced public library systems.

Unit Type Systems

Unit type systems are systems composed of libraries of the same type. Each type of library -- public, academic, school -- belongs to a system made up of like libraries. "Touch points" or links between the systems are defined, and when the resources of one system cannot satisfy a request, it is passed through the touch point into another type of system. If, for instance, a public library system could not fill a request, it might be forwarded to an academic library, which, failing to fill the request, would refer the request to the academic library system to which it belonged.

The underlying assumption in considering this alternative was that the University of California, California State University and College System, and the regional community college districts each have, and are continuing to develop, unit type library systems among their campuses. Whether or not any of these systems could provide a structure for backing up public library systems is the key question in determining the appropriateness of this alternative.

Public Library Systems Augmented by Regional Intertypes

The second alternative introduces the possibility that regional intertype-of-library networks can serve as backups to public library systems. Complete integration of intertype networks and public library systems was considered as another form of this structure, depending on whether the equal public access requirements of public library systems could be accepted by all participating libraries.

The basis for choosing this structure as an alternative worthy of extensive consideration was the recent surge in the development of these networks in response to available Federal funding.

Public Library Systems Augmented by North-South Backup Structure

The third alternative considers a North-South backup structure to augment public library systems, instead of the regional intertypes considered above. This North-South structure would be built upon the collections of the State's two largest public libraries, San Francisco Public Library and Los Angeles Public Library, and the Statewide resource centers, BARC and SCAN, which are housed in these public libraries.

Interlibrary requests which could not be satisfied by a public library system would be referred to the North-South structure.

The basis for considering this alternative was the size and strength of the resources – both library materials and reference specialists – in these two public libraries.

Public Libraries Augmented by North-South Structure

The first of the two alternatives which could replace systems is a structure in which local public libraries would refer requests directly to the North-South backup structure. This structure eliminates public library systems – the intermediate backup role which systems provide and all system programs.

The intent of evaluating this alternative is to provide some insight into whether the need for an intermediate structure for resource sharing is necessary – in other words, to test the feasibility of a structure with virtually no hierarchy or cooperative complexity.

Regional Contract Libraries Augmented by North-South Backup

The final initial alternative considers whether it is feasible to contract with a large public library (or a large academic library in the exceptional case where the largest public library in the region is judged to have inadequate resources) in each region to provide the services currently provided by public library systems. Implicit in this alternative is the assumption that there exists in each region such a library capable of providing the services now provided by the system. The State Library, acting on behalf of the public libraries in the region, would contract with this library to provide the services which are currently performed by the existing cooperative system.

The governing assumption in this case is that a single library agency can, at a lower cost, provide a major portion of what systems currently perform.

SURVEY OF NONPUBLIC LIBRARIES

To fully explore possible alternative structures for interlibrary service, a survey of nonpublic libraries was undertaken. The purpose of this survey was to determine the resources, capabilities, and willingness of nonpublic libraries to perform services, or to form cooperative structures for performing services, now performed by public library systems.

During this survey we visited the libraries of eight University of California campuses, twelve California State University and College campuses, five private academic institutions, met or spoke with representatives from 15 community colleges, five special libraries, five school districts and representatives from the State Department of Education and the California Association of School Librarians, and interviewed the staff of seven intertype networks.

The questionnaires used in these interviews and a list of the institutions contacted are presented in Appendix G of this report.

Summary of Results

The results of this survey, summarized in relation to the resources, capabilities and willingness of each segment to either provide services or participate in cooperative structures for providing services, are discussed below.

Resources

The resources of the State's nonpublic libraries range from some of the finest academic research collections in the world to the special purpose collections of school and special libraries. Three of the academic libraries in the State – the University of California at Berkeley, the University of California at Los Angeles and Stanford University – house broad-based research collections of national significance.

Summarized by segment, the resources of the State's nonpublic libraries and their relationships to the needs of public libraries and public library systems range from top-level backup capabilities to highly duplicative collections:

- **University of California** – The library resources of the nine campuses must be evaluated at two levels, UC Berkeley and UCLA, and the remaining seven campuses. Intended to be the system's research-level collections, Berkeley and UCLA have the most extensive collections in the UC system. Recently, however, a gradual upgrading of the remaining campuses, as their curricula have broadened, has had the effect of decentralizing some of the overall collection strengths throughout the system. Responding to Department of Finance reviews, the University is attempting to coordinate the purchase of little used materials, and states that one of its primary goals in the library area is to implement an effective system-level bibliographic control system.

  Aside from the resources of Berkeley and UCLA, which are capable of providing research-level backup, the six remaining general campuses (with the exception of the specialized San Francisco campus) have excellent broad-based academic and research-oriented collections which could conceivably backstop public library systems on a regional basis.

  The UC system typically has a high level of intercampus lending activity, since as the librarians indicated, the highest probability of locating materials exists within the system. Often included in the resource sharing activities of the system is Stanford, which has a special arrangement for interlibrary lending with Berkeley.

- **California State University and Colleges** – The library resources of the CSUC system are generally more limited than those of the UC campuses. This is in part due to the more general nature of the curriculum offered and the fact that CSUC has only in recent years offered advanced degree programs. Thus, the necessity for a research-level collection has not been as great. As a result, CSUC relies heavily on the UC system for interlibrary loans. This may be due, in part, to the fact that the CSUC system has no formal structure for intercampus communication or delivery, nor are there any location tools which support intercampus lending activity.

None of the CSUC campuses could currently provide a State-level resource backup; nearly all of the campuses, especially those located outside of metropolitan areas, could provide a general backup to public libraries or public library systems on a local or regional basis. In many cases, the CSUC library has the best resource collection in a regional area. Examples of these include the Chico and Humboldt campuses.

- **Private Academic Institutions** – The private academic institutions in California have a number of outstanding research and academic collections. Largest among these is the collection of Stanford University. Nearly all of these private academic collections could serve as a regional backup resource; Stanford University's collection could provide excellent State-level backup.

- **Community Colleges** – The collections of community college libraries, with the exception of nonprint media instructional resources, have not been highly sought by other libraries. Most community college collections are curriculum-oriented and typically do not meet the uniqueness or backup requirements which would make them appropriate backup resources for public library systems.

- **Special Libraries** – Many of the special libraries in the State have rare and unique materials that could possibly meet highly specialized needs of public library backup. Many of these resources are of a proprietary nature, however, and public access cannot generally be provided. One of the most significant resources of the special libraries, however, is not the library collection, but rather the librarian, who is often a specialist in his or her particular field and can provide reference expertise.

- **School Libraries** – School libraries in California have traditionally remained independent from public libraries and public library systems. Their collections are typically of an elementary or secondary curriculum support nature and lack the depth to provide any significant backup to public libraries or systems' requirements.

Capabilities

In the context of this survey, we have defined capabilities to mean those factors in addition to library resources which would enable an institution or library segment to participate in a cooperative effort of the sort required by the alternative structures set forth in the previous section.

At the general or segmental level, capabilities include system-level communications and delivery systems, location tools, means for coordinating collection development, and specialized personnel skills. At the institutional or campus level, capabilities are more specifically limited to local forms of those capabilities defined above.

From a systemwide standpoint, none of the types of libraries, or segments within type, have the capabilities necessary to satisfy the requirements of a unit-type structure. Although the UC system has an intercampus delivery system in the North and the South, these systems are not interconnected. The CSUC has no intercampus delivery system, although several campuses operate shuttles to nearby UC campuses. None of the institutions has a communications system which connects all libraries. Most of the telecommunications tools in these libraries have been provided by regional intertypes to which they belong. Coordination of collection development has been attempted in both the UC and CSUC systems, but none of the efforts to date appear to have had much of an impact on campus acquisitions policies.

With respect to personnel, each of the systems has experienced, and continues to experience, tighter budgets which have reduced staffing to levels that necessarily limit the amount of outside services which could be performed. State law prohibits both institutions from receiving the benefits of payment for services provided to other agencies.

Individually, many campuses and institutions participate in Federally funded regional intertype networks or other types of library consortia. In compensation they have received delivery service, communications devices, and occasionally staff hired and paid from the intertype funds. Their participation in these networks has been primarily on an experimental basis and does not necessarily signify a permanent commitment to participation in cooperative ventures with public libraries or public library systems.

Many questions were raised during the survey relating to whether any other type of library could meet public library or public library system requirements. Academic librarians indicate that, while their collections no doubt add great strength to the total available resources, better support to a middle size public library might often come from a very large public library than from an academic collection. There was widespread concern on the part of academic librarians that their personnel and resources may not be appropriate for meeting many of the types of requests received by public libraries.

Willingness

The willingness of nonpublic libraries to cooperate with public libraries and public library systems is conditional. Central to the question of willingness is the issue of compensation. Those librarians whose libraries are, or are likely to be, the "net lenders" in such cooperative structures have typically based their willingness to participate to some degree on the propects of compensation for their effort. *Free* reciprocal services, especially on a

long-term basis, are unrealistic in view of the requirements of each library's primary constituency and its budgetary constraints. Most librarians candidly stated that the current intertype networks would most likely die in the absence of the Federal funds which support them.

Given an adequate level of compensation, however, nearly everyone interviewed indicated a genuine willingness to provide whatever services their resources and commitments to primary constituencies would allow. This is particularly true of the State's academic libraries, both public and private, whose representatives indicated a sincere interest in sharing their resources, as long as they did not have to bear the added costs of this resource sharing. Academic librarians typically see resource sharing with public libraries or public library systems as a "one-way street," i.e., they see few possibilities of meeting in return their own needs through public libraries or public library systems.

Special librarians, while they are willing to participate in cooperative structures, point out that in serving the needs of their primary constituency, speed is often the most important consideration. As a result, assistance to outsiders must give way when time is short.

Other types of libraries, while they are willing to enter cooperative structures, did not generally perceive a need or mutual benefit resulting from doing so. Included in this latter group are community college and school librarians.

Conclusion

From the survey of nonpublic libraries the following conclusions relating to any alternative structure for augmenting or replacing public library systems are drawn:

- There are at least three university library collections in the State which could serve in an overall Statewide backup capacity: Berkeley, Stanford and UCLA.
- Neither the UC or CSUC systems appear to be capable, at the present time, of providing at an overall system level, the backup required for public libraries or public library systems.
- On a regional basis, individual academic libraries have the resources and capabilities to provide local backup for public library systems.
- There is some doubt as to whether interlibrary demand generated by public libraries can best be met in academic libraries.
- Nonpublic libraries are generally willing, provided that adequate compensation is made available, to provide services or form cooperative structures for providing services.

EVALUATION OF ALTERNATIVE STRUCTURES

In the first section of this chapter, several criteria on which alternative structures should be evaluated were defined. According to these criteria and the information and conclusions provided by the survey of nonpublic libraries, we are able to evaluate the merits of alternative structures for augmenting or replacing public library systems.

Evaluative Criteria

The criteria on which alternative structures should be evaluated are restated below:

- **Resource Sharing Capability**

  - Alternatives which *replace* public library systems should be capable of providing the high priority resource sharing programs, and to a secondary degree, provide for other system programs.

  - Alternatives which *augment* public library systems should provide significant opportunity for the increased effectiveness of system resource sharing programs, and to a lesser degree, other system programs.

- **Upgrading Capability**

  Any alternative structure proposed must provide for the ongoing upgrading of its resource base and the staff required to function adequately.

- **High Fill Rate**

  One of the primary goals of any alternative structure should be the capability of providing backup to systems, or directly to public libraries, which will satisfy the maximum possible percentage of interlibrary demand.

- **Ease of Implementation**

  The attractiveness of an alternative structure hinges in part on simplicity of implementation, with minimal disruption of existing patterns.

- **Personnel Concentration**

  The higher the degree of personnel concentration and specialization in a structure, the more attractive it is from a staff development standpoint.

- **Cost-effectiveness**

  To the extent that an alternative structure can reduce the number of transactions required to fill a request, the greater its potential cost-effectiveness.

- **Sound Financial Structure**

  Alternative structures which require less reliance on in-kind contributions from participating libraries are easier to manage and account for financially.

- **Capacity for Growth**

  An alternative structure with the flexibility and capacity for meeting rapidly growing demand is required.

The Tentative Alternatives

At least two of the tentative alternatives can be eliminated without a great deal of analysis. The *Unit Type Systems* structure requires that the other types of libraries be organized into structured, well functioning systems. It is clear from the survey of nonpublic libraries that they are not so organized and, as a result, this alternative is not worth further consideration.

Another tentative alternative which must be abandoned is the fourth, *Public Libraries Augmented by the North-South Backup.* Clearly, the high volume of interlibrary demand, the magnitude and rapid growth of which was not known at the time this alternative was formulated, eliminates this possibility from further consideration. An implied workload at the backup level of over 400,000 interlibrary requests per year from the multijurisdictional systems alone would certainly place too great a demand on the resources at this level.

Three of the alternatives, *Public Library Systems Augmented by Regional Intertypes, Public Library Systems Augmented by a North-South Backup,* and *Regional Contract Libraries Augmented by a North-South Backup* remain serious candidates for evaluation. These remaining alternatives are discussed below. Following their evaluation, the appropriateness of each alternative and the implications of the results are discussed. The concluding section of this chapter presents a recommended alternative structure.

Public Library Systems Augmented by Regional Intertypes

The resource sharing capabilities of a public library system-intertype structure are significantly greater than those of the system alone, provided that strong and relevant collections are available in the other types of participating libraries. The effect of the intertype libraries on the upgrading capability of the structure is necessarily limited by the collection development priorities of the individual participating intertype libraries. Moreover, the number

of libraries involved make the collection development process quite cumbersome. The possibilities for pooled collections are severely limited by the legal and fiscal independence of the participating libraries.

While current intertype experiences suggest that a higher fill rate is achieved by the system-intertype structure, access to a top-level backup resource is still required. The number of transactions required to achieve a higher fill rate depends, to some degree, on whether the system can refer a request to an intertype library with a high probability of filling it prior to exhausting the system resource base. If this practice is followed, the intertype structure can reduce the number of transactions required per request. If not, then the intertype will result in a greater number of transactions, hence higher costs.

Equal patron access to all participating libraries in the intertype, as in the public library system, is not possible because of potential conflicts with responsibilities of the intertype libraries to serve primary constituencies.

The supportive requirements for implementation of resource sharing programs on an intertype level include expanded communications and delivery systems, a coordination of a large and highly decentralized staff, and development of a complex financial and organizational structure for monitoring and control. The attendant costs of an intertype structure are typically higher than those of individual systems. Moreover, when these costs are summed on a Statewide basis, they become highly significant.

The capacity for meeting the rapidly growing interlibrary demand under system-intertype structures varies from area to area. Academic libraries of campuses with declining enrollment, and therefore declining budgets, cannot be expected to meet growing regional library demands. The uneven distribution of nonpublic libraries throughout the State clouds the possibility of these structures meeting requirements on a relatively equal basis.

In summary, system-intertype structures meet or exceed less than half of the evaluative criterion. In fact, current intertype experience indicates that, in most cases, the academic libraries in the intertype provide the primary resource backup capability, and that all other members are typically "net users" of the structure. The prospects for most of these net users being able or willing to pay their pro rata share of intertype costs in the absence of their current 85% external subvention is highly unlikely.

Public Library Systems
Augmented by North-South Backup

In contrast to the system-intertype structure, public library systems under this alternative would be augmented from a central, State-level backup. This backup would provide resource support for interlibrary loan and reference requests which could not be met at the system level.

All existing programs of the public library system structure would be maintained in their present form. Backup for resource sharing programs would be provided by extended forms of BARC and SCAN, through the resources of the San Francisco and Los Angeles public libraries.

The upgrading capability of the structure would exist at both the backup level and the public library system level. The merit of collection upgrading at the backup level is that some degree of Statewide bibliographic control may be achieved in a simple fashion by asking the backup libraries to coordinate acquisitions of their main collections. Unless fresh commitment exists, it is not anticipated that system-level upgrading will be any more effective under this structure than under present public library systems.

While the fill rate of such a structure is substantially improved over the systems' current experience, it is unlikely that the State's two large public libraries can fill 100% of public library requests, not to mention their own unfilled requests, without some access to the very large academic library collections. Complete periodical coverage is bound to be a major deficiency of this backup structure.

The supportive requirements for this structure include installation communications and delivery systems between existing public library systems and the resource centers. Staff at the backup level is highly concentrated, and therefore relatively easy to manage and train. Also because of its centralized nature, the structure offers no major accounting or implementation problems. Its cost-effectiveness at the backup level can be visibly monitored and controlled.

One defect of this structure is its potential inability to keep pace with the rapidly growing level of interlibrary demand. As demand continues to increase at the projected rate, it is doubtful that the capabilities of the two public library resource centers alone can meet this demand, in spite of increased State assistance.

The effect of this structure on Systems' abilities to improve their local performance rests largely on their own commitment to do so, given the proper level of funding. The

structure itself will not enable systems to operate any more effectively at the local level. It merely provides the backup necessary to improve systems' fill rates, and thereby overall quality of library service to a higher level. While this structure, or at least the backup portion, meets the majority of the evaluative criteria, it has two important limitations: it does not affect system performance at the local level, and there are questions of whether the backup can meet all systems' needs and requirements.

Regional Contract Libraries
Augmented by North-South Backup

The replacement of public library systems with a single strong library agency is the key difference between this and the previous alternative. Whether a single library agency can perform the same services now performed by cooperative systems is the question around which this alternative revolves. The presumption made in evaluating this alternative is that at least one strong library exists in each region of the State, in accordance with the *Geographic Plan for Public Library Systems*.

Obvious, but not unresolvable, problems exist with a single library attempting to meet all the requirements currently met by systems. From the resource sharing standpoint the capabilities of this individual library represent the total resource base on which resource sharing must occur. The local fill rate is limited to the percentage of requests which can be filled out of this library's collection. Upgrading of the resource base cannot be controlled by the contractee libraries in the region, but rather they must rely on the contractor's judgment in this matter. With the exception of the contract library, equal patron access among public libraries would revert to individual bilateral agreements.

The regional contract library concept has distinct merits in that it is not complex structurally, provides for centralization of all personnel involved in interlibrary activities, eliminates the possibility for multiple transactions per request, centralizes all transactions (reduced unit costs), and is highly manageable, both financially and administratively.

The major problems with this structure appear to be the lack of local control over the program standards or resource base, a fill rate limited by the size and adequacy of the single resource base and a capacity to meet growing interlibrary demand, all of which are contingent upon a single library's ability to do so.

From a backup standpoint, the characteristics of the backup structure are the same as under the systems alternative considered previously. The possible exception in the case of

regional contract libraries is that, since the fill rate depends on the resources of a single library, it could be slightly lower than that of the system, and the resultant number of requests referred to the backup level could be greater.

Summary

From the above evaluations of the tentative alternative structures, several points are worth restating:

- The primary benefits of the intertype structure are gained from a very few nonpublic library members. Typically, these are academic libraries, most often those of UC and CSUC campuses.
- There is a need for an exhaustive top-level backup for any alternative structure. This top-level backup requires access to academic library resources in addition to major public library collections.
- The regional contract library concept, despite its inflexibility, has some very favorable characteristics -- concentration of personnel involved in interlibrary transactions, reduction in transactions per request, cost-effectiveness and manageability.

We have deduced from these structured analyses that a modification of the regional contract library concept, preserving its good features but eliminating its objectionable feature -- inflexibility -- provides a basis for the development of a good alternative to systems. In the next chapter the concept of *designated intermediate libraries* is developed. The other necessary elements in this alternative proposal are discussed and compared with the existing structure.

CHAPTER 11
TWO WORKABLE STRUCTURES

This chapter contains a detailed summary of our recommendations relating to future structure. First, a top-level consortium, appropriate for augmenting either of the two alternative intermediate structures, is described. Following this description of the common backup structure, the two alternatives for intermediate public library service are outlined.

The first of these intermediate level structures is Public Library Systems. The conditions under which public library systems should be retained are discussed in the second section of this chapter.

The alternative intermediate level structure is the Regional Designated Intermediate Library structure. This structure is outlined in detail in the third section of this chapter.

Finally, the fourth section presents our recommendations for the structure which should be adopted, discussing the reasons behind our choice.

THE TOP-LEVEL CONSORTIUM

As the preceding chapter indicates, the interlibrary loan and reference backup requirements for any alternative structure should include access to both large public library collections and strong academic research collections. Therefore, it is recommended that a top-level backup consortium be formed, including initially the Los Angeles and San Francisco Public Libraries, the libraries of UC Berkeley, UCLA and Stanford University, and the California State Library.

This consortium will operate as a two-tier structure -- the two large public libraries forming the first tier, and the three academic libraries and the State Library composing the second tier.

The role of the two large public libraries would be to provide access to the top-level consortium for public libraries through expanding and redefining BARC and SCAN. These two access points would receive all requests not filled at an intermediate level (i.e., those forwarded by public library systems or designated intermediate libraries). Access to the top level through BARC and SCAN would be limited to system resource libraries or designated intermediate

libraries, including the main libraries of the two large public agencies, in order to more effectively establish an orderly communications system and monitor activity levels.

Interlibrary requests thus received would be processed in the first tier libraries, exhausting the resident capabilities before referring unfilled requests to the second tier. Requests referred to the second tier would be routed in a predetermined manner which, according to the nature or subject of the request, would result in the highest probability of success on the first transaction.

We visualize a pattern in which the volume of interlibrary loans and reference requests would be met approximately as follows:

Interlibrary loans	Interlibrary reference	Level	
55 – 65%	75 – 80%	Intermediate	
30 – 35%	20 – 25%	First tier	top-level
5 – 10%	Less than 5%	Second tier	consortium

Supporting this consortium would be a shared cataloging/bibliographic control network, perhaps using an automated program like BALLOTS. (We say "like BALLOTS" because the scope of our study has not included an assessment of the merits and costs of BALLOTS in comparison to other alternatives.)

Bibliographic control within the top-level consortium provides the maximum opportunity for the coordination of collection development at its most cost-effective level – among the major research libraries of the State. It also provides the opportunity for ongoing resource evaluation and suggests the possibility of collection development funding in the form of "one-copy" grants. It is anticipated that the projected level of interlibrary reference demand at the first tier of the top-level consortium will warrant experimentation with automated reference tools.

A major benefit anticipated from the top-level consortium is that information on the types of requests which cannot be filled at an intermediate level can be easily monitored and analyzed. This information – type of requests, subject areas, demand patterns, etc. – has never been centrally available in a form that can be analyzed. It is anticipated that this benefit could provide the basis for ongoing improvement in the recognition and planning of needed programs at the intermediate level, as well as identifying possible requirements for expanding or contracting the membership of the top-level consortium.

State funding for the top-level consortium will take two forms. First, the State would pay the costs of shared cataloging for the participating libraries in lieu of providing a flat grant for access. Second, the libraries participating in this consortium would be entitled to unit cost reimbursement for each request filled in the same manner that systems or intermediate libraries will be funded.

The top-level consortium will be essentially the same whether the public library systems are continued or the regional intermediate structure is chosen.

AUGMENTED PUBLIC LIBRARY SYSTEMS

If public library systems are retained as the intermediate level of Statewide public library service, basic changes in their funding, organization and operations are required. These recommended improvements in public library systems are presented in this section.

First, if systems are to continue to exist, *their financing must be placed on a sound basis.* The projected volume of interlibrary demand requires that access to resources must be formal, structured and available as a matter of right, not courtesy; that is, supported by adequate reimbursement. Interlibrary relationships which rely solely on cooperation are no longer economically feasible. Not only does this require that State funding be increased to a more adequate and predictable level, but current local support in the form of in-kind staff time and materials must be committed on a more formal basis. The relationship between State formula subvention and local financing of system programs is discussed in Chapter 12.

Systems must perform an adequate *assessment of resources and needs* to allow for sufficient *planning and evaluation* of system activities. Included in this process is the setting of *system goals and objectives* and preparing *program budgets* which allocate system resources in relation to objectives. Recommended planning guidelines are presented in Chapter 13. Systems have failed to *systematically measure their performance* through *defining and monitoring performance indicators which reflect system objectives and measure patron satisfaction.* Evaluation of system programs must proceed on this basis, with assistance in the form of comprehensive guidelines and standards provided at the State level.

Systems must develop the programs and member library commitment necessary to develop, in a coordinated manner, the system resource base. The approach typically taken by systems of permitting member library autonomy in collection development, augmented by some sort of system location tools, is not consistent with the cooperative systems concept.

Coordinated collection building requires the joint commitments of all member libraries in selecting materials for the system-level resource base. The necessity for system-level collections which augment member library collections is critical to improving system fill rate and achieving the economies which cooperation can provide. Incentives for the development of system-level resources are provided in the State funding formula.

Systems must develop their area libraries to achieve the degree of system-level resource centralization which will enable them to reduce the number of transactions required to fill a request and benefit from the potential economies of scale inherent in focusing interlibrary requests at a few locations. In some systems it may be desirable to either contract with or invite academic libraries in the system area to provide an orderly backup resource for certain types of system requests.

We recommend that, until automation efforts make Statewide input possible, input to a Statewide data base (the Union Catalog) be limited to system level and system area library acquisitions. We believe that this will streamline this data base without sacrificing a high proportion of coverage.

Systems must encourage and provide for the development of library staff at all levels. To the extent that personnel handling interlibrary requests may be concentrated in a few locations, their administration and the management and control of system operations will be facilitated.

If system objectives are set and attained which reflect these improvements, systems can effectively fulfill the role of intermediate library service in the next decade.

REGIONAL DESIGNATED INTERMEDIATE LIBRARIES

We have developed, based on the positive aspects of the Regional Contract Library concept, an alternative to public library systems for providing intermediate level resource sharing. This alternative seeks to eliminate, where possible, the development of costly administrative structures, and instead concentrates on developing resource sharing patterns which have the highest likelihood of being both effective and efficient.

The intermediate structure is defined as follows: Intermediate libraries are *designated* by a Regional Library Council to provide resource sharing backup for the public libraries in the area, one library for interlibrary reference backup and one or more libraries for interlibrary

loan backup. Designated intermediate libraries may be public libraries or any other type of library in the region that can meet the regional service requirements.

Intermediate libraries would enter into contracts with the State Library to meet specific standards and guidelines set forth by the Statewide Standards Committee (see Chapter 13) and the Regional Library Council. These standards will be defined in terms of the following:

- Minimum number of titles in central resource collection
- Minimum periodical and backfile requirements
- Minimum reference collection (a possible standard may be the guidelines established in New York: *Reference Books for Regional Reference Collections*, University of the State of New York, State Education Department, Division of Library Development, revised 1967 edition)
- Minimum local effort as defined by either per capita expenditure relative to assessed valuation, or compliance with the forthcoming ALA minimum standards for public library service on the part of participating public libraries
- Minimum number of professional staff at certain levels processing interlibrary requests (for instance, a Reference Librarian III to review all requests which must be forwarded to the top-level consortium).

In addition, certain standards of performance may be required by the Regional Library Development Council:

- Specific turnaround time requirements on all interlibrary requests
- Minimum fill rate capability
- Definition of certain types of materials (e.g., current fiction) which could not be lent
- Rules regarding photocopy of periodical articles.

The designated intermediate libraries would be the only libraries authorized to pass requests on to the top-level consortium. Each would have a Teletype (TWX) provided by the Regional Library Council from the State funds for this purpose.

Funding to the designated intermediate libraries for providing regional services would be provided through a State formula related to the volume of requests processed. Included in

the formula is an allowance for delivery which, if not provided by the designated library, would revert to the Regional Council, which in turn would contract with another agency for delivery service.

Also provided in the reimbursement formula is a premium in excess of estimated direct costs to offset wear and tear on this library's collection and provide an incentive to fill as many requests as possible. That portion of the funding which is provided to public library systems for coordinated collection building would be added to the unit reimbursement rate under the designated intermediate library structure to provide this premium.

The requirements for specific reference and monographic works held by the designated intermediate libraries are implicit in the general requirements that these libraries must meet; it would be inappropriate to attempt to define the collections held by these libraries in any greater specificity. The direct relationship between effective performance and compensation received for their backup role provides the strongest kind of incentive for the intermediate libraries to acquire whatever specific materials might increase their ILL and ILR rate of success. It is, of course, assumed that full advantage will be taken of such aids as the list of basic reference materials provided for the guidance of the central libraries in the Public Library Systems in New York State. Workshops, lists directed toward specific problems and similar devices will also be developed, as part of the upgrading of staff effectiveness in other aspects of the recommended plan.

Definition of Regions

While there currently exists a geographic plan for consolidating public library systems, it is apparent that there is a long-standing disagreement concerning the boundaries delineated in that plan. It is recommended that the public librarians in the State work together to develop an acceptable alternative to that plan as soon as possible. We believe that the number of regions in any alternative plan should be less than the twenty public library systems which currently exist.

The Regional Library Council

A Regional Library Council would be formed in each of the geographic regions. Representatives from each library in the area, public and private, of all types, would elect a Regional Library Council. The purpose of this council would be to advise the State Library on the needs of the region and to serve as a forum for discussion of regional programs.

To carry out the activities of the council, it is recommended that an executive committee be selected, composed of three public library representatives, three academic librarians, one school librarian, one special librarian, one library educator (if there is an accredited library school in the region), and three lay people or trustees. The purposes of this Executive Committee would be to:

- Serve as the executive arm of the Regional Library Council.
- Act as liaison between the local libraries of the region, the designate libraries and the State Library.
- Advise the State Library on the choice of designate libraries in the region and standards with respect to their performance.
- Negotiate terms for open access within the region.
- Advise the State Library with respect to regional needs in addition to ILL and ILR.
- Develop proposals to the State Library for regional projects (to be administered by the State Library or a local library in the region).
- Assess regional needs for staff development and advise the State Library and Statewide Staff Development Committee.
- Represent the needs of the region to State Legislators from the region and work with CLA legislative committees.

It is anticipated that the full regional council would meet annually, perhaps at CLA, and would elect members of the Executive Committee to serve staggered three-year terms. The Executive Committee would meet quarterly, or more frequently as required. A sample agenda for the annual Regional Library Council meeting is included as Appendix J of this report.

Staffing for the regional councils would be provided by the State Library serving as secretariat to the councils and their executive committees. The councils would not hire staff of their own, since all program-oriented staff would be part of a contract between the State Library and the library providing program services within the region. The councils would not receive grant funds and would not require formal incorporation.

Other Programs

Other programs currently performed by public library systems may be performed under this structure. Their anticipated forms are discussed on the following pages.

Coordinated Collection Building/Materials Selection

To the extent that designated intermediate libraries are reimbursed in excess of their direct costs for filling requests, an incentive to fill more requests by coordinating purchases to interlibrary requests is created. This incentive provides for coordinated collection building at the level where it is most effective, the designated regional resource level.

Further coordination of collection building may be accomplished by local libraries attending materials selection meetings held at the designated library.

An outgrowth of these meetings would be less duplication of little used materials and possibly the joint purchase of some rotating pool collections which would be housed at the designated library after their rotating cycle.

Bibliographic Resources

The Regional Designated Intermediate Libraries would be required to make input to a Statewide bibliographic data base, as system area libraries would do under the systems alternative.

Equal Access

Under the new structure, it is recommended that the Regional Library Council develop a formula for the resolution of imbalances created by nonresident usage.

Films

Cooperative central film collections or film circuits may be implemented in a region or on a multiregional basis, using the designated libraries as the focal point for the housing and distribution of film materials.

Outreach

Where local needs warrant cooperative programming on a regional level to serve special groups, the Regional Library Council can provide the necessary structure.

Staff Development

Because the personnel involved in interlibrary activities under this structure are highly centralized, their training and coordination should be greatly facilitated.

Administration

Administration of the Designated Intermediate Library structure is simplified since the primary program activities are performed by a single library agency. The responsibilities for regional planning and performance evaluation rest with the Regional Library Council.

RECOMMENDED ALTERNATIVE

The structure recommended for intermediate library service in California over the next decade is the Designated Intermediate Library structure. The reasons for this choice include:

1. The opportunity for the local public libraries to choose the resource library most likely to provide quick, adequate service
2. The lowest feasible cost in time and money for filling each request – i.e., a minimum of administrative structure, a minimum of transactions per request and a minimum of location tools (union catalogs, etc.)
3. A fair reimbursement to resource libraries
4. Standards of performance that will ensure a reasonably equal free flow of information and resources to all California citizens
5. Maximum opportunity for collection coordination at its most cost-effective level – at the regional resource center level
6. Maximum structure for monitoring the performance and cost/benefit ratio of State aid to libraries by funding according to resource sharing requirements
7. Maximum flexibility to develop regional, multipurpose intertype library cooperation by means of regional library development committees
8. Maximum flexibility to accommodate technical developments as yet not available.

Although we believe a sound program for the future can be built on public library systems if the changes and improvements alluded to earlier are accomplished, we prefer the Regional Designated Intermediate Library structure primarily because it requires less administrative structure, requires a minimum of location tools and holds the prospect for more rapid fulfillment of interlibrary requests by reducing the required number of transactions.

CHAPTER 12
FUNDING

This chapter recommends a revised formula for State subvention under the Public Library Services Act. Development of the formula, its application under the two alternative intermediate structures for library service, and the rationale behind its choice make up the first half of this chapter. Calculations of the effects of this formula, in projected funding requirements, are discussed relative to patterns of funding in other states in the final section of the chapter.

THE RECOMMENDED FUNDING FORMULA

Development of a revised formula has required the definition of a set of goals and related assumptions about the intent of future State subvention. These elements of the funding program are common, regardless of which intermediate structure is adopted.

It is recommended that State assistance be based on the following considerations:

- That the formula focus on support for ongoing interlibrary activities rather than one-time or program development activities
- That the equal access requirement of PLSA remain an essential ingredient in any future funding plan
- That the formula be oriented primarily to interlibrary resource sharing activities
- That the formula be responsive to annual changes in the level of interlibrary demand (as measured by total interlibrary loan and reference requests)
- That the formula be capable of adjustment to reflect changes in the costs of resource sharing
- That the formula encourage the realization of possible cost savings in the sharing of resources through increased efficiency (reduced transactions per request) and coordinated resource development at the top and intermediate levels (increased fill rate)

- That the formula provide for the necessary subsidiary functions to ensure success of interlibrary resource sharing programs, in such a way that changing needs can be accommodated

- That the formula accommodate large public libraries (single jurisdictional systems) as well as smaller public libraries or consortia of libraries in the same manner

- That the formula provide for interlibrary relationships that are guaranteed as a matter of right, supported by adequate forms of reimbursement, rather than reliance on voluntary cooperation.

Conceptually, the proposed formula has, at each service level, two parts:

- Reimbursement to libraries for filling interlibrary loan and reference requests

- A Sustaining Services Fund, calculated as a percentage of the total reimbursement above, for essential interlibrary programs – staff development, coordinated collection building, films, and administrative support. This fund would be administered by the State Library with the advice of the State Library Advisory Council.

The law would specify the purposes for which the Sustaining Services Fund could be employed, but would not specify the allocation by program. Thus, changing needs and program priorities could be accommodated without new legislation. Staff development, for instance, calls for very high priority now, but in a few years there may be other needs more pressing.

It seems quite feasible to key State funding to the level of interlibrary demand, as indicated by the volume of requests, provided that adequate provisions are made for monitoring interlibrary loan and reference activity levels and for periodic audit. Staff persons responsible for recording transactions would be advised that they have the same responsibility for accuracy and full accounting for their results as they would if they had custody of public funds.

The Funding Formula for Public Library Systems

The formula for funding public library systems is based on the number of requests received and filled at the system level, plus a sustaining services fund, defined as a percent of the system's resource sharing grant. The formula itself has the dual benefit of funding ongoing system activities, while at the same time recognizing their variable cost characteristics.

This method of funding raises questions about the possible inequities of applying the same formula to multijurisdictional as to single jurisdictional systems. Special problems relate to the propriety of funding the internal (interbranch) requests of single library systems, while only counting the external (interlibrary) requests for multijurisdictional systems. In response to these concerns, we offer the following alternatives and recommendations.

We understand that State support is, or ought to be (under PLSA), a supplement to local support for public library *service*, and not simply a supplement to the support of public library *systems*. We interpret this to mean that State support should be available to all citizens of the State on an equitable basis, regardless of their location or type of intermediate library structure.

We see four alternatives to resolving the issue of single jurisdictional system funding:

1. Adopt the alternative structure, which, because it is not *jurisdiction-based*, is not faced with this issue.

2. Amend the existing law to prohibit single library systems, i.e., require that the five single jurisdictional systems either merge with, or form, systems of two or more public library agencies.

3. Allow nonmerging single library agencies to remain independent, at the cost of sacrificing intermediate-level State support. The central branches of those single library agencies participating in the top-level consortium would still be compensated for that activity.

4. Redefine the support formula for all large libraries, including those that are currently members of multijurisdictional systems, to recognize, for purposes of reimbursement, those requests which must be passed above the *regional resource branch* level. State funding would subsidize the same types of requests for all large libraries, regardless of intermediate structure.

Consistent with our overall recommendations, we favor the first alternative. However, if systems are retained, then we strongly urge that alternative four be adopted. We believe that *system-oriented* activity must be recognized and funded on a consistent basis, regardless of whether the activity is internal to a single library agency or part of a multijurisdictional effort. The required support functions are similar for both internal and external activity, and quite often serve both purposes. More important, this provision would support ongoing resource sharing activities for all citizens, regardless of their residence.

State funding for Public Library Systems would be calculated according to the following formula:

a. *Cost of Interlibrary Requests* filled at the system level for both ILL and ILR

(unit cost per request at one transaction per request) x (volume of filled requests at system level)

b. *Transaction Cost of Unfilled Requests* for both ILL and ILR

(labor cost per transaction) x (volume of unfilled requests at one transaction per request)

c. *Cost of Excess Transactions* for both ILL and ILR

(labor cost per transaction) x (volume of transactions in excess of one transaction per request)

d. *Sustaining Services Funds*

Sustaining Services Funding at a factor of 2.6 times resource sharing funding in Step a. above.

Each of the above components is discussed in some detail below:

- *Cost of Interlibrary Requests* — This component of the formula represents the actual costs of system interlibrary loan and reference programs based on the current level of costs at the rate of one transaction per request. For purposes of projecting the State requirement, we have made the following assumptions relating to unit costs, volume and fill rate: (1) unit costs will increase at an overall rate of 8% per year, (2) volume of requests will grow at a rate of 20% per year, and (3) the Statewide system-level fill rate will increase over the present rate of 60% at 1% per year.

- *Transaction Cost of Unfilled Requests* — Systems will also be reimbursed at the rate of one transaction per request for the costs of unfilled ILL and ILR requests. The transaction cost used in this part of the formula includes the cost of labor only, which represents a major portion of the variable costs of an individual transaction. It is assumed that the labor cost per transaction will increase at a rate of 8% per year in applying the formula.

- *Cost of Excess Transactions* — The formula component representing the excess portion of "fruitless transactions" is included in the funding initially, but phased out over a five-year period. It is recommended that the State support the excess transactions required to process system requests at a declining rate each year, terminating support in the fifth year. It is assumed in making the projection of the State requirement that the transactions per ILL

request will increment down from the current average of 3.5:1 at a rate of 0.5 transactions per year, leveling at one transaction per request in year five. The parallel assumption is made for interlibrary reference.

- *Sustaining Services Fund* – The final component of the systems funding formula is the subvention of other relevant system programs and activities. Specifically included in this component are allocations for staff development, coordinated collection building/materials selection, films, publicity and system administration programs. An explanation of the determination of the Sustaining Services funding factor is included in Appendix I.

  This factor is based on an examination of current outlays and needs for those system programs which are to be State supported. Programs not recommended for State support are also discussed in Appendix I.

  Funds appropriated under this formula component are not directly available to the systems, but rather are administered by the State Library according to guidelines recommended by the State Library Advisory Council. It is recommended that all funds distributed to systems be matched by locally collected funds.

Funding the Top-level Consortium

Support for the six-member top level would be provided through a three-part formula including shared cataloging costs, unit cost reimbursement for requests processed, and an annual collection development fund related to the volume of requests referred to the top level. The components of the formula are presented below:

a. *Cost of Interlibrary Requests* processed at top consortium level

   (unit cost per request) x (volume of referred requests)

b. *Collection Development Funding* at the consortium level

   (reimbursed costs in Step a above) x (10% collection development factor)

c. *Shared Cataloging Reimbursement*

   (number of titles added to consortium-level collections) x (unit cost of shared cataloging)

Discussion of these formula components is provided below:

- *Cost of Interlibrary Requests* – Members of the top-level consortium will be reimbursed for interlibrary requests at the same rates that public library systems are reimbursed (i.e., the current systems' unit cost per request, less

the labor cost of excess transactions). They will be compensated at this rate for all requests now filled at the system or intermediate level.

- *Collection Development Funding* – To enhance the capabilities of the top-level consortium to develop a resource base containing both unique and high demand materials, a fund equal to 10% of the interlibrary request reimbursement above will be provided. Based on projections made in the next section of this chapter, it is anticipated that at least 1,000 items could be added annually to the consortium-level collection of projected volumes.

- *Shared Cataloging Reimbursement* – State funds would provide for reimbursement of unit costs for shared cataloging. The assumptions made in projecting the costs of shared cataloging are that the top-level consortium members will acquire about 400,000 titles per year at a shared cataloging cost of approximately one dollar per title.

Funding Formula for Designated Intermediate Library Structure

The formula for funding the alternative intermediate level structure, Regional Designated Intermediate Libraries, is similar to that defined for public library systems. State funds would flow directly to Designated Intermediate Libraries according to a formula based on the volume of requests processed. In addition, State funding would be provided on a limited basis to support the planning and evaluation activities of the Regional Library Councils.

It is anticipated that the central branch (or possibly one or two regional branches) of the current single jurisdictional systems will be designated as intermediate libraries, at least for interlibrary loan purposes. Internal requests of these library agencies which cannot be filled before reaching the designated branch would qualify for reimbursement under the formula, just as those requests received from other public libraries in the region.

The funding formula for Designated Intermediate Libraries/Regional Library Council structure is presented below:

a. *Cost of Interlibrary Requests Filled* at the Designated Intermediate Library level

(unit cost per request) x (collection development premium) x (volume of filled requests)

b. *Transaction Cost of Unfilled Requests* for ILL and ILR

(labor cost per transaction) x (volume of unfilled requests)

c. *Sustaining Services Funds* for the Regional Library Councils

d. *Sustaining Services Funding* at a factor of 1.6 times resource sharing funding in Step a. above.

These formula components and assumptions relating to beginning values of the variables are discussed below:

- *Cost of Interlibrary Requests* -- This component of the formula determines the funding for reimbursement of Designated Intermediate Libraries for filling interlibrary requests. The unit cost is defined the same as it has been in preceding cases. A premium for each filled request is incorporated into the reimbursement formula to provide for collection development in the designated library. The purpose of this premium is to provide incentives for coordinating collection building with the patterns of regional interlibrary demand. Recommended values of this premium are 50% of the unit cost for interlibrary loans and 20% for interlibrary reference requests filled. These values are used in the projections in the following section. Fill rate for this structure is set at a slightly lower initial value for this structure, 55%, and 72% for ILL and ILR, respectively, and incremented higher at a rate of 2% per year, so that in the fifth year both alternatives are filling requests at an equivalent rate.

- *Transaction Cost of Unfilled Requests* -- It is recommended that Designated Intermediate Libraries be reimbursed the labor costs of unfilled requests as is done in the formula for systems.

- *Sustaining Services Funds* -- As with sustaining services funding for public library systems, the formula provides for a portion of State funds to be administered by the State Library for staff development and program planning and evaluation at the regional library council level. Included in the funding are the programs discussed in Appendix I. Initial values of the Sustaining Services funds for this alternative are computed at a rate of 1.6 times resource sharing subvention.

PROJECTED COSTS UNDER THE FORMULA

The projected costs to the State of the two alternative structures under the recommended funding formula are discussed in this section. The projections, based on the assumptions described in the previous section, are made over a five-year period. Projecting the costs any further is not practical because of the limitations of the assumptions on which these projections are based.

Public Library Systems

Recommended funding levels for public library systems, based on the previously outlined assumptions, are presented below. In addition to the formula components discussed for public library systems, a 10% allowance for supplemental assistance to sparsely populated or geographically isolated member libraries has been added to the cost of interlibrary requests below.

For purposes of illustrating the funding requirement under the formula, it was assumed that single jurisdictional systems would be supported in the ratio of their circulation relative to that of multijurisdictional systems. This ratio is calculated to be approximately 25%.

State Subvention to Public Library Systems

Formula component	Fiscal year systems 1975	1976	1977	1978	1979	1980
Cost of interlibrary requests	$ 510,000	671,000	883,000	1,161,000	1,527,000	2,007,000
Transaction cost of unfilled requests	144,000	181,000	227,000	285,000	358,000	448,000
Cost of excess transactions	616,000	798,000	787,000	670,000	434,000	–
Sustaining Services Funds	1,326,000	1,745,000	2,296,000	3,019,000	3,970,000	5,218,000
Multijurisdictional systems	2,596,000	3,395,000	4,193,000	5,135,000	6,289,000	7,637,000
Single jurisdictional systems (1)	649,000	849,000	1,048,000	1,284,000	1,572,000	1,918,000
Total systems funding	$ 3,245,000	4,244,000	5,241,000	6,419,000	7,861,000	9,555,000

(1) Single jurisdictional system funding estimated at 25% of multijurisdictional funding based on circulation.

The additional State funding to the top-level consortium and total State funding under this alternative are shown below.

Total State Funding – Public Library Systems Alternative

	1975	1976	1977	1978	1979	1980
Total systems funding	$ 3,245,000	4,244,000	5,241,000	6,419,000	7,861,000	9,555,000
Top-level consortium	694,000	769,000	864,000	983,000	1,132,000	1,317,000
Total State subvention	$ 3,939,000	5,013,000	6,105,000	7,402,000	8,993,000	10,872,000

Designated Intermediate Library Structure

Projected levels of funding under the recommended structure are presented in the table below. Costs to the State under this alternative are significantly lower in the first three years under this alternative. The accelerated fill rate assumption and the premium offered to designated libraries, however, make it more costly in the fifth year. It is believed that both of these factors make this alternative more attractive in terms of improving the intermediate level of library service.

Total State Funding – Designated Intermediate Library Structure

Formula component	Fiscal year 1975	1976	1977	1978	1979	1980
Cost of interlibrary requests (1)	$ 814,000	1,090,000	1,459,000	1,949,000	2,603,000	3,467,000
Transaction cost of unfilled requests (1)	207,000	254,000	311,000	379,000	462,000	560,000
Subtotal – Designated Intermediate Libraries	1,021,000	1,344,000	1,770,000	2,328,000	3,065,000	4,027,000
Sustaining Services funds	1,302,000	1,744,000	2,334,000	3,119,000	4,165,000	5,548,000
Top-level consortium	796,000	883,000	999,000	1,134,000	1,295,000	1,487,000
Total State subvention	$ 3,119,000	3,971,000	5,103,000	6,581,000	8,525,000	11,062,000

(1) Projected levels of activity represented by what were formerly single jurisdictional systems are included in the volume of projected requests.

EFFECTS OF THE REVISED FUNDING FORMULA

It is immediately apparent that the calculated minimum needs for State funding of interlibrary activity are substantially in excess of the current level of PLSA appropriations. The case for an upward adjustment rests on evidence which appears to us to be persuasive, grounded as it is in analysis of the actual costs of conducting a resource sharing program which in turn is saving public libraries, and therefore the taxpayer, the cost of purchasing duplicate copies of ever more expensive books and periodicals.

Data from Other States

Some perspective on funding level may be provided by comparison with other large states. The table below shows for the eight most populous states the proportion of public library revenue derived from State, Federal and local services.

Sources of Public Library Revenue, Eight Largest States 1971-1972

Rank order population	State	% revenue from State	% revenue from Local	% revenue from Federal
1	California	1	95	4
2	New York	85	13	2
3	Pennsylvania	71	17	12
4	Texas	.001	92	8
5	Illinois	16	79	5
6	Ohio	1	95	4
7	Michigan (1972-73)	15	78	7
8	New Jersey	78	18	4

Source: American Library Directory

The following table relates public library revenues and expenditures to public education revenues and expenditures.

Comparison, Public Education to Public Libraries, Eight Largest States

Rank order population	State	Public education total revenue capital ADA	% total public library revenues to total public elementary and secondary revenues	Ratio of State elementary and secondary education revenues to State public library revenues
1	California	$ 1,308	2.0	2,571:1
2	New York	1,981	2.4	20:1
3	Pennsylvania	1,321	1.4	1,302:1
4	Texas	1,020	1.1	21,771:1
5	Illinois	1,342	1.4	158:1
6	Ohio	1,046	2.3	1,547:1
7	Michigan	1,356	1.6	549:1
8	New Jersey	1,524	1.9	71:1

Note: Education and Library Revenues are for 1971-1972.

Sources: Estimates of School Statistics, 1972-73, National Education Association – Research Report, 1972-R12; Statistical Abstract of the United States, 1973, U.S. Department of Commerce; American Library Directory, 1971-73; 1974-75.

The preceding figures may be of interest in view not only of the known heavy use of public libraries by elementary and secondary pupils, but also in consideration of the Legislature view of the relationship:

> "The Legislature further declares that the public library is a supplement to the formal system of free public education . . ." (*California Education Code:* Sec. 27000)

One more set of per capita figures rounds out the picture.

Public Library Per Capita, State and Total 1971-72

Rank order population	State	Public library expenditures per capita	Public library revenue from State funds per capita
1	California	5.55	0.055
2	New York	7.89	6.710
3	Pennsylvania	2.89	2.050
4	Texas	2.37	0.000
5	Illinois	3.99	0.640
6	Ohio	5.37	0.050
7	Michigan	3.93	0.590
8	New Jersey	5.00	3.900

Source: American Library Directory, 1972-73; 1974-75.

Summary

While the revised funding formula represents an increase of 250% for the recommended structure, and over 300% for public library systems over current levels of State funding, the revised level is not unreasonable in comparison with support for libraries in other large states. Even though the formula provides for rapid growth in the level of State funds, this growth is keyed to changes in the level of interlibrary demand.

The revised funding formula represents a modest investment relative to the projected increases in the quality of Statewide library service and attendant overall savings of the otherwise very high opportunity costs of not providing for an effective program of interlibrary resource sharing.

CHAPTER 13
IMPLEMENTATION

This chapter discusses who should do what next. There are several important tasks to be accomplished which are not much affected by the choices discussed in the preceding chapter. One relates to the urgency of planning and implementing a Statewide staff development program; accordingly, the first section of this report discusses Continuing Education of Library Personnel. Another is the need for all types of library organizations to develop more effective approaches to planning. A section entitled A Recommended Planning Process presents generally applicable guidelines. The Role of the State Library is discussed next; its effective leadership is crucial to interlibrary development. The chapter closes with specific suggested planning steps for the years ahead.

CONTINUING EDUCATION OF LIBRARY PERSONNEL

Like every other profession, library science is changing rapidly and preservice professional education becomes significantly obsolete within a very short time. Preservice education (commonly one year beyond the bachelor's degree) at its best and most recent, cannot possibly provide the student with all the insights and skills needed for a lifetime of work. But the need for updating includes all levels of library personnel – professional, clerical, technical – from the top administrator to the desk attendant as well as the laymen, whether trustees or local officials, who are responsible for determining policies, responsible to user needs. The Reference Survey, detailed in Chapter 5, has documented that the quality of library personnel is central to the success of any local library or library system. Throughout the study, we noted instances where staff development programs at both the local and intermediate levels could improve the quality of public library service.

As libraries become more dependent upon one another (and the growth of interlibrary loans and reference service shows how rapidly this is happening), it becomes especially important that library personnel understand these arrangements and that continuing education programs be geared to building that understanding.

Many agencies in California are currently engaged in continuing education or staff development. Among these are the following:

- *Local, individual libraries* of all types: The most formal, planned, in-service training tends to take place in libraries with large, multilevel staff, such as the Los Angeles Public Library, the large urban school districts and the large

college and unversity libraries. Training opportunities scheduled in these libraries might profitably be extended to include staff from neighboring smaller libraries.

- *Public Library Systems:* The study of program activity and costs reported in Chapter 6 has documented that approximately 2.1% of the multijurisdictional library system funds and about 3.5% of single jurisdictional system funds were expended last year for staff development. This totals about $205,000. If the findings of the very limited reference study are representative of most libraries in California, these funds are clearly not enough.

- *The State Library:* The State Library recognizes an obligation for Statewide staff development, especially of public librarians. Numerous workshops and seminars, some of them repeated in various regions of the State, have traditionally been held. Too often in the past, these have been aimed at the smaller public library, and thus have served only a minority of the librarians of California. The consultant activity of the State Library has also aimed at in-service education, often on a one-to-one basis.

- *The Library Associations:* The library associations of California, such as the California Library Association, the California Association of School Librarians, etc., as well as the national library associations, such as the American Library Association, Special Library Association, etc., have as one of their major objectives the education and upgrading of their members, by means of newsletters, annual and regional conferences and special workshops.

- The *University of California* System and the *CSUC* System: The University of California system and the CSUC system provide opportunity for some library staff training, especially at the library administration level.

- The *Library Education Programs:* The library education programs of the State, especially the ALA accredited graduate programs at UC Berkeley, UCLA, the University of Southern California and San Jose State University all provide some measure of continuing education, although their primary thrust has been toward preservice education at the master's and/or doctoral level.

Although all of these agencies have been more or less active in continuing education of library personnel, there exists no comprehensive Statewide inventory of strengths, resources and programs. There is no long-range plan to ensure responsiveness to fill needs, to focus on implementation of future requirements. There does not appear to be a consensus on the responsibility of different agencies for education of different personnel levels, so as to avoid duplication of continuing education offerings. There is not enough crossing of type-of-library lines, nor sufficient evaluation of continuing education in terms of improved service to users.

It is recommended, therefore, that a Statewide Staff Development Committee be established to foster and coordinate library continuing education in California.

Membership on the Committee should include:

- The chairman and deans of California's four ALA accredited library schools (UCLA, UC Berkeley, San Jose State University and the University of Southern California).
- Representatives of extension/continuing education programs of the University of California, California college and community college systems.
- Representatives of the California Library Association, California School Library Association and Special Library Association.
- Representatives from each system or each of the Regional Library Councils, depending on future structure.
- The State Librarian and director of Library Development Services in the State Library.

The State Librarian would convene the Staff Development Committee at least quarterly and would provide secretarial services.

The Committee should operate within a set of assumptions such as the following:

- "Continuing education is essential for all library personnel, professional and supportive, whether they remain within a position category or are preparing to move into a higher one." (*Library Education and Manpower*: A statement of policy adopted by the Council of the American Library Association, June 30, 1970.)
- Responsibility for providing continuing education in California is shared by graduate schools of library and information science, undergraduate and technician programs, the State Library, local libraries and library systems of all types, the California Library Association and other State associations and local chapters of national associations.
- "Continuing education opportunities include both formal and informal learning situations, and need not be limited to library subjects or the offerings of library schools." (*Library Education and Manpower*)
- A viable program of library continuing education must be interdisciplinary. In its planning, its methods and its content, it must build upon the resources, the insights and the experience of other professions.

- Continuing education should be planned cooperatively by the libraries and personnel for whom it is intended.

- Continuing education should be based on an assessment of library user needs, and must be evaluated in terms of its contribution to library performance.

During the first year, the charge to the Committee should be to develop a plan for Statewide library staff development. The plan might include:

- An assessment of the quality and quantity of present library continuing education in California with respect to its organization, administration, support, target groups, content, methods of delivery and instruction and evaluation.

- A directory of the people, agencies and associations most active in library continuing education.

- An identification of the major developments in continuing education in other professions in California which have relevance for library planning.

- An inventory of needs for continuing education at each level of library staff in all types of libraries.

- An identification of major unmet needs.

- A recommended pattern for assignment of responsibility for library continuing education among the various agencies presently engaged in such activities.

- An exploration of alternative solutions for a Statewide program of library continuing education with respect to its organization and administration, its support, its priorities, its coordination with other professionas and disciplines, with wide discussion of these alternatives.

Based on the consensus reached during discussion of these alternatives, a long-range plan for Statewide continuing education should be proposed for adoption by those institutions and agencies primarily responsible for its implementation.

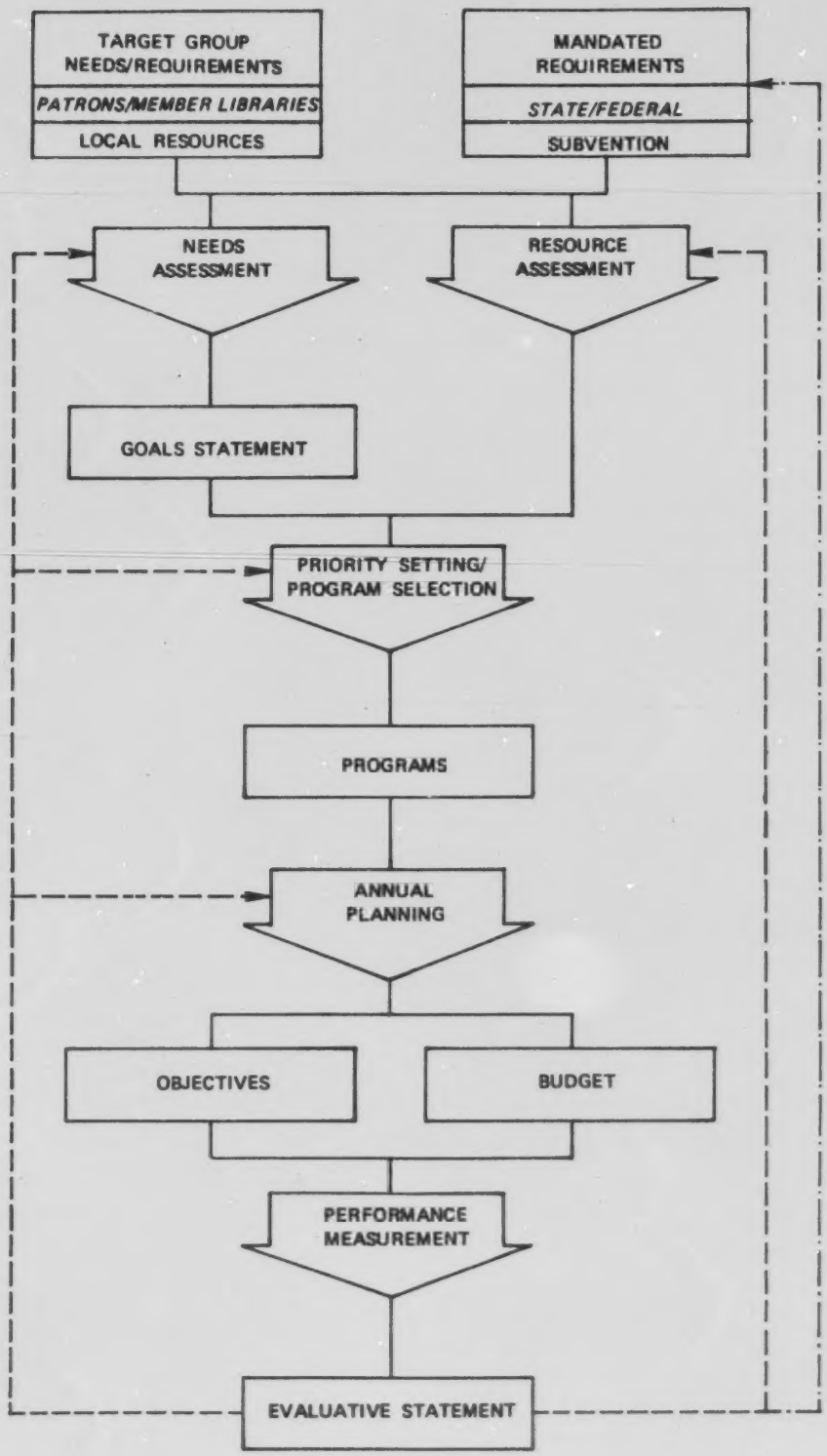
We propose that State support for continuing education of library staff, including the work of the Staff Development Committee, be part of a funding package discussed in Chapter 12.

A RECOMMENDED PLANNING PROCESS

The program evaluation in Chapter 4 concludes that most systems have not set program objectives with sufficient specificity to permit performance to be measured in relation

EXHIBIT 11-1

RECOMMENDED PLANNING PROCESS



to plan. In fact, there is very little specific planning done. It might be argued – and some systems librarians undoubtedly feel – that considering the very small amount of money coming from the State in support of systems, the effort of planning its expenditure is hardly justified. This perspective may be somewhat altered, however, with the information now available on the dollar value of the in-kind contributions from member libraries. When this is added to LSCA funds, the total investment in systems is great enough to warrant careful advance planning. If State funding is increased – and we believe the facts to buttress the case for a substantial increase are now in hand – then surely no question can be raised about the need to plan. But how?

Exhibit 11-1 on the previous page diagrams the flow of a recommended planning process. Each of the steps in the process is shown in an arrow; the outputs from each step are shown in boxes. The steps are summarized in the following subsections.

Needs Assessment

The first step in the planning process is to identify the needs and/or requirements of the target group to be served: member libraries and library patrons, for example. A comprehensive analysis of these needs, as well as any requirements mandated by external regulatory or funding agencies, will constitute the "needs assessment."

This needs assessment is the basis on which goals should be set. Without such an assessment, goals and objectives have no adequate foundation. If goals cannot be related to clearly defined needs, they cannot justify the funding necessary to ensure their attainment.

This needs assessment should provide the basis for a statement of goals and a ranking of priorities. Determination of needs may involve special surveys; it will always require systematic data collection and monitoring of services. Examples of Statewide system needs and their priorities are presented in Exhibit 4-5.

Resource Assessment

Concurrent with the assessment of needs, an assessment of resources should be performed. System resources should be interpreted as broadly as possible, i.e., collections, facilities, fiscal resources, staff, etc. Inputs to the system resource assessment include both local resources and subvention from external agencies. The resultant determination of resources will be weighed against goals in the program selection process.

Priority Setting/Program Selection

The third step in the planning process involves the setting of priorities, establishing which goals should be emphasized in the current plan given the available resources. Selection of appropriate programs to attain the high priority goals is the primary output of this step. Frequently a goal may be attained through several alternative programs. The selection of programs involves the analysis of which programs will most effectively satisfy the goals at the least cost.

The output of this step in the planning process should be a Plan of Service which shows the relationship of programs to goals. This Plan of Service should be updated annually. Each program should be specifically defined in terms of its desired output, supportive requirements, administration and criteria for performance measurement and evaluation.

Annual Planning

Specific objectives for each program and program budgets are the outputs produced in the annual planning process.

The objectives, one or more, for each program should be as specific as possible with respect to desired program performance. Objectives should define the desired output in quantitative terms wherever possible, within a specific time frame. Process, or input-oriented, objectives should be avoided wherever a measurable output can be defined.

The annual budget, a program budget, is developed concurrently with the statement of program objectives. The allocation of resources to programs must realistically reflect the desired program performance as indicated by a program's objectives.

Performance Measurement

Continuous measurement of performance throughout the year is the key to assuring that objectives and budget will be met. Variances from planned performance must be carefully analyzed; corrections and adjustments in planned performance may be necessary to ensure meeting objectives, or to prevent exceeding program budgets. The measurement of performance should provide the basis for the ultimate evaluation and reporting of performance.

The Evaluative Statement produced as a result of performance measurement should provide a valuable input to the four steps in the planning process: needs assessment, resource

assessment, program selection and annual planning. In addition, this Evaluative Statement should answer the reporting requirements of State and Federal funding agencies.

ROLE OF THE STATE LIBRARY

The proposals contained in this report, if adopted, will place new leadership requirements on the State Library. At the same time, the State Library will be relieved of some functions which have proven to be burdensome.

The administration of the Statewide Union Catalog should become more efficient and less burdensome if input is limited to intermediate-level (system or designated intermediate) library acquisitions, as recommended in Chapter 10.

The administration of the proposed shared cataloging/bibliographic control network should not be a State Library responsibility; we visualize, however, that the State Library will have a crucial role as the necessary contracts and agreements are negotiated to bring them into being and to assure the success of its continuing operation.

Another change resulting from the proposed new structure would be a sharp reduction in the volume of backup effort in interlibrary loan and reference. The State Library would only receive referrals of requests for materials which constitute its unique strengths as a collection. This in turn should enable the State Library to reexamine its acquisitions policy and to build a stronger, more highly specialized collection. (Under the preferred alternative plan, we do not see any reason why those libraries that are now nonmembers of systems should not be required to route their ILL requests, like everyone else, through a designated intermediate library.)

The effect of these changes should be to permit the State Library to concentrate its attention on new directions, to act more as a coordinator and facilitator and less in the direct operating mode.

Certain organizational changes should be made to facilitate this new role. We suggest that a State Library Advisory Council be created. It would include representatives of all library interests in the State. As its name implies, it would be advisory to the State Librarian. Unlike the Systems Council, it would not be limited to public librarians. At the start it would focus its activities in two committees; others would be added as needed. One would be a Staff Development Committee, with responsibility for coordinating the program for continuing education which is outlined in detail earlier in this chapter. A second group, the Standards

Committee, would advise the State Librarian on the standards to be adopted for the regional designated intermediate libraries (or alternatively, for public library systems).

The council itself would be in a position to advise the State Librarian on the best allocation among programs to be made of the Sustaining Services Fund (see Chapter 12) and to help determine when priorities should be adjusted among programs.

An important new responsibility of the State Library would be the negotiation, on behalf of the State, of the contracts required to make the top-level consortium operative and to inaugurate the Regional Library Councils. If systems are continued, the State Library must assure that the Plans of Service meet minimal planning standards and that adequate provision is made for performance measurement.

Under the Designated Intermediate Library structure, the State Library will provide support staff for the Regional Library Councils. This support requirement will necessitate that the State Library add the appropriate staff, probably three to four people, to its Library Development Services Group.

The State Library's responsibility for the monitoring machinery required to assure the integrity of the ILL and ILR transaction records and the periodic cost studies needed to establish the unit cost basis for the funding formula is as important as any of its other functions.

A final note -- a persistent concern expressed in the course of our field interviews relates to Library Development Services. We repeat the observation made just ten years ago in the Martin-Bowler report that, to be effective, this consulting group should be organized on a functional rather than geographic basis, and that its staff be composed of technical specialists whose skills are consistent with Statewide library development needs.

IMPLEMENTATION PLAN

The foregoing chapters of this report contain a great deal of data, observations, conclusions and recommendations to be interpreted and evaluated in arriving at a concerted Statewide decision about the future. Several themes are recurrent in the report; some deserve emphasis prior to outlining the implementation plan:

- There is the need for comprehensive planning at all levels of library service in the State.
- Monitoring of performance -- both in terms of the quality of patron service and the effectiveness of programs and structures for providing that service -- is critical to the success of any interlibrary structure.

- Resource sharing is the keystone of any interlibrary plan; structures which facilitate resource sharing in the simplest and most expedient manner are vital for the future.

- Concerted Statewide planning and development of intermediate and top-level library services, including adequate funding and direction, are required.

Our recommendation for the adoption of an alternative to public library systems is based on the belief that systems have demonstrated a very clear requirement for public library services which transcend the capabilities of local public libraries. The dramatic projected growth in interlibrary demand compounds these requirements. We have recommended an alternative which we feel responds to these requirements with a flexible and manageable structure.

The implementation guidelines recommended below relate to both intermediate structures, as well as those common requirements which are independent of intermediate structure. Year-by-year elements of the master plan are described according to which group or agency is responsible for their implementation.

Year 1

The first year of the ten-year plan is necessarily consumed with planning and decision-making. A course of action for the future must be defined; goals for the ten-year period must be set at a Statewide level; specific objectives for the first five years of the master plan should be set which reflect annual milestones according to the ten-year goals; structures must be organized and program priorities reflecting Statewide needs should be developed.

- California State Library

  - Sponsor Library Planning Institute to evaluate this report and recommended future course of action

  - Define the membership of the State Library Advisory Council and solicit nominations from those groups which are to be represented

  - Revalidate projections of interlibrary demand using available interlibrary loan statistics from fiscal year 1973-74; revise projection of funding requirements if necessary.

- State Library Advisory Council

  - Define and appoint membership of Statewide Standards Committee and Staff Development Committee

- Assign to the Staff Development Committee the development of a comprehensive plan for Statewide staff development program for the five-year period

- Assign to the Statewide Standards Committee the definition of standards for intermediate level structure, including the definition of regions for intermediate-level library service.

- Develop a set of ten-year goals and detailed five-year annual goals and objectives for Statewide library service.

. **Top-level Consortium**

- Define the organizational structure and a steering committee or board of directors to plan and monitor program development

- Define common cataloging format and program development priorities to ensure implementation of consortium on at least a manual basis during fiscal year 1976

- Restructure the access offices of the first-tier public libraries – BARC and SCAN.

. **Public Library Systems**

- Implement planning process and Statewide resource sharing program priorities to ensure preparedness for either revised operation and funding during the next decade or phasing of current structure into regional intermediate library structure

- Submit current Plans of Service to State Library for review by State Library Advisory Council.

. **Regional Library Councils**

- Meet and define regional standards for designated intermediate libraries. Submit standards to Statewide standards committee for evaluation

- Select designated intermediate libraries.

Year 2

The second year of the implementation plan may be characterized as the *startup* year. Having defined a course of action in Year 1, the plan is now implemented in Year 2.

- **State Library Advisory Council**

  - Define the annual priorities for the distribution of State sustaining services subvention.

- **California State Library**

  - Administer the State funding according to the formula and the priorities recommended by the State Library Advisory Council.

  - Implement the Statewide Staff Development program designed by the Staff Development Committee.

  - Collect the necessary operating data to monitor performance and provide to the Standards Committee for evaluating standards.

  - Revalidate projections of interlibrary demand – both interlibrary loan and reference activity – to prepare budget estimate for subsequent year's funding requirement.

- **Top-level Consortium**

  - Produce and distribute procedures for access to the top-level structure.

  - Implement loan and reference backup programs.

  - Test and implement shared cataloging/bibliographic control programs.

  - Monitor demand to determine appropriate consortium acquisition policy.

- **Intermediate Structure**

  - Select system area or regional Designated Intermediate libraries and implement resource sharing programs.

  - Provide the necessary operating data to monitor performance and meet the information requirements defined by the Statewide Standards Committee.

  - Develop and submit a plan for the subsequent year based on current performance and annual objectives.

Years 3-10

The implementation tasks in these years are primarily related to development of annual plans, monitoring performance, resetting five-year objectives, and defining a new

ten-year master plan in the fifth year. Unique tasks for each year are discussed below; repetitive tasks are shown for one year only.

- **State Library Advisory Council**

  - Define the annual priorities for the distribution of State sustaining services subvention.

  - Review performance in relation to master plan and extend or revise ten-year master plan for next five years. Develop detailed five-year annual goals and objectives for the second half of the initial ten-year period. (Year 6)

- **California State Library**

  - Administer the State funding according to the formula and the priorities recommended by the State Library Advisory Council.

  - Collect the necessary operating data to monitor performance and provide to the Standards Committee for evaluating standards.

  - Revalidate projections of interlibrary demand – both interlibrary loan and reference activity – to prepare budget estimate for subsequent year's funding requirement.

  - Administer an intensive data collection effort similar to the one used in this study to revalidate unit cost and effectiveness standards. (Years 3, 5, 7 and 9)

- **Top-level Consortium**

  - Monitor demand to determine appropriate consortium acquisition policy.

  - Participate in an intensive data collection effort similar to the one used in this study to revalidate unit cost and effectiveness standards. (Years 3, 5, 7 and 9)

- **Intermediate Structure**

  - Provide the necessary operating data to monitor performance and meet the information requirements defined by the Statewide Standards Committee

  - Develop and submit a plan for the subsequent year based on current performance and annual objectives.

  - Participate in an intensive data collection effort similar to the one used in this study to revalidate unit cost and effectiveness standards (Years 3, 5, 7 and 9)

PUBLIC LIBRARY SYSTEMS AND MEMBER LIBRARIES

MULTIJURISDICTIONAL SYSTEMS

Berkeley-Oakland Service System

- Berkeley Public Library*
- Oakland Public Library*

Black Gold Cooperative Library System

- Lompoc Public Library
- Paso Robles Public Library
- San Luis Obispo City-County Library*
- Santa Barbara Public Library*
- Santa Maria Public Library*
- Santa Paula Union High School Library District Library
- Ventura County Library Services Agency*

East Bay Cooperative Library System

- Alameda County Library*
- Alameda Public Library*
- Contra Costa County Library*
- Richmond Public Library*

49-99 Cooperative Library System

- Amador County Library
- Calaveras County Library*
- Lodi Public Library*
- Merced County Library
- Stanislaus County Library
- Stockton-San Joaquin County Library*
- Tuolumne County Library

Inland Library System

- Colton Public Library*
- Corona Public Library
- Hemet Public Library
- Inyo County Library
- Ontario Public Library*
- Palm Sprngs Public Library
- Riverside City and County Library

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* Indicates member libraries visted during field interviews.

San Bernardino County Library*
San Bernardino Public Library*
Upland Public Library

Metropolitan Cooperative Library System

Altadena Library District Library*
Azusa Public Library*
Beverly Hills Public Library
Burbank Public Library
Covina Public Library
Downey Public Library
El Segundo Public Library
Glendale Public Library
Glendora Public Library
Monrovia Public Library
Monterey Park Public Library
Palos Verdes Library District Library*
Pasadena Public Library*
Pomona Public Library*
Redondo Beach Public Library
San Marino Public Library
Santa Fe Springs Public Library
Santa Monica Public Library*
Sierra Madre Public Library
South Pasadena Public Library
Torrance Public Library
Whittier Public Library

Monterey Bay Area Cooperative Library System

(Carmel) Harrison Memorial Public Library
Monterey County Library*
Monterey Public Library*
Pacific Grove Public Library
Salinas Public Library*
Santa Cruz City-County Library*
Watsonville Public Library

Mountain-Valley Library System

Alpine County Library
Auburn-Placer County Library
El Dorado County Library*
Lincoln Public Library
Marysville-Yuba County Library
Mono County Library*
Nevada County Library
Roseville Public Library

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* Indicates member libraries visited during field interviews.

Sacramento City-County Library
Sutter County Library*
Woodland Public Library
Yolo County Library*

North Bay Cooperative Library System

Calistoga Public Library
Healdsburg Public Library
Lake County Library
Marin County Library*
Mendocino County Library
Mill Valley Public Library
Napa City-County Library*
Petaluma Public Library
St. Helena Public Library
San Anselmo Public Library
Santa Rosa-Sonoma County Library*
Sausalito Public Library
Solano County Library*
Vacaville Unified School District Library*

North State Cooperative Library System

Butte County Library*
Chico Public Library
Colusa County Library
Eureka-Humboldt County Library
Modoc County Library
Orland Public Library
Plumas County Library
Shasta County Library*
Siskiyou County Library
Tehama County Library*
Trinity County Library
Willows Public Library*

Peninsula Library System

Burlingame Public Library
Daly City Public Library*
Menlo Park Public Library
Redwood City Public Library*
San Bruno Public Library
San Mateo County Library
San Mateo Public Library*
South San Francisco Public Library

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* Indicates member libraries visited during field interviews.

San Joaquin Valley Library System

Coalinga Unified School District Library*
Fresno County Library*
Kings County Library
Madera County Library*
Porterville Public Library
Tulare County Library
Tulare Public Library*
Visalia Public Library

Santiago Library System

Anaheim Public Library*
Fullerton Public Library
Huntington Beach Public Library
Newport Beach Public Library
Orange County Library*
Orange Public Library
Placentia Library District Library
Santa Ana Public Library*
Yorba Linda Library District Library*

Serra Library System

Brawley Public Library
Calexico Public Library
Carlsbad Public Library
Chula Vista Public Library*
Coronado Public Library
El Centro Public Library*
Escondido Public Library
Imperial Public Library
National City Public Library
Oceanside Public Library*
San Diego County Library*
San Diego Public Library*

South Bay Cooperative Library System

Mountain View Public Library*
San Jose Public Library*
Santa Clara County Library*
Santa Clara Public Library*
Sunnyvale Public Library

* Indicates member libraries visited during field interviews.

SINGLE JURISDICTIONAL SYSTEMS

Kern County Library System*

Long Beach Public Library System*

Los Angeles County Library System*

Los Angeles Public Library System*

San Francisco Public Library System*

* Indicates member libraries visited during field interviews.

QUESTIONS FOR SYSTEM PERSONNEL

MULTIJURISDICTIONAL SYSTEMS

I. ORGANIZATION/STRUCTURE

1. Would you briefly trace the history of the system?

   a. When and why was the system formed?
   b. Who were its original members?
   c. What reasons did they give for joining the system?
   d. Who joined later and for what reasons?
   e. Who did not join the system? Why not?
   f. Has anyone withdrawn from the system? Why?

2. What were (and are currently) the requirements for affiliation with the system?

   a. Financial
   b. Resource access
   c. Organizational
   d. Geographic considerations
   e. Other.

3. With what unit or units of government is the system directly associated and what is the system's relationship to that agency or agencies?

4. Who or what body determines policies for the system and what is the system's relationship to that body? Who are the members of that body (librarians or laymen)?

5. How is the system organized from an administrative standpoint? Who is responsible for supervising day-to-day operations?

6. Do you have or could you construct a simple organization chart that would show these relationships?

7. To whom in the system are you personally responsible?

8. What political subdivisions and fiscal jurisdictions serving libraries, other than those you are directly associated with, comprise the system's service area?

9. Who are the persons or agencies the system is charged to serve? Verify the number of libraries, branches, population or whatever units are appropriate, served by the system.

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* Tabulation of the responses for questions with asterisks is provided beginning on C-7.

10. Has the organizational structure of the system or any of the member libraries changed since the system was formed? Has the structure been affected by PLSA? By LSCA?

II. GOALS AND OBJECTIVES

1. Does the system have a written statement of goals and objectives? May we have a copy?

2. If a service plan is filed with the State, is it still current?

3. Please rank the objectives in the order of their importance. Is there a time dimension associated with each of these objectives?

4. How are goals and objectives arrived at in the system?

5. By what means does the system measure the amount of progress toward objectives? What measures are being used?

6. Have you made evaluation studies of any aspect of your program or do you have any ongoing evaluation programs in a form that we could take away with us?

7. Have you performed on a system level a "needs" analysis to identify nonusers and unserved groups? How have you tried to attract nonusers? Has your collection-building policy or service plan been changed as a result of your needs analysis?

8. Have the goals of the system changed significantly from the first set of goals developed when the system was formed? Why?

9. Has the system made any efforts to coordinate or standardize the service plans or objectives of the member libraries? If so, how successful have these efforts been? Do you see a trend toward more system-level planning in the future?

III. SERVICES PROVIDED

1. What specific services does the system provide and for whom? (Here we will have a matrix showing our services classification and review these activities (from the system reports) with the interviewee.) Are there any services provided to some members but not to others?

2. Are you currently providing services to any library, public or other, not a member of the system? Which services? To whom?

3. Does the system operate, by contract or otherwise, any direct services to member library patrons, such as bookmobile service, mail order service, etc.?

4. On what basis and by whom were the services the system renders to member libraries chosen?

*5. What additional services would you like to offer?

6. What records are kept regularly or on a sampling basis that relate to your services?

   - Activity data
   - Cost data.

7. Who keeps the records for the system? Does the system have control over which records are kept (program budgeting versus line item budgeting)?

8. Have you developed or attempted to develop standard or unit costs for system services? For what purpose were they developed?

9. Do you charge member libraries for any services? How were the charges arrived at? Are these rates competitive with other agencies? Would it be desirable to charge for some services?

10. Have there been any studies or analyses of the impact of system services on the member library patrons?

11. Have you conducted any performance tests of the system's services?

12. Do you have any brochures or other printed materials describing any or all of your services?

13. What part of the population, if any, residing in the area now served by the system was formerly without library service (please estimate)?

*14. In your opinion, what are the three most important services provided to local libraries by the system?

*15. Are there any services now performed by the system which member libraries feel they could perform more effectively (or less costly) on a local basis (speed, accuracy, etc.)?

IV. SERVICES RECEIVED

1. Are certain services provided by the system actually performed by one of the member libraries? Which services? By whom? (Go back to service matrix III-1)

2. Are any system services provided by some other agency, system, network, CSL, etc.? Which ones? By whom?

3. How does the system reimburse the agencies providing these services?

V. RESOURCES

1. Where are the strongest collections in the system located? By what means are these resources made available to system members: ILL _____, direct loans, in person _____, in-library reference and other use _____? Approximate distance from that library to most distant point in the system's service area?

2. Do you have any specific data or studies relating to ILL:

   - Volume of requests
   - Percent filled
   - By whom
   - Fill time
   - Analysis
     - Subjects
     - Costs
     - Etc.
   - Comparison with presystem experience.

3. Does the system own any special collections independent from the member library collections? Please explain.

4. Has the system attempted to collectively assess its resource needs?

5. Does the system have a coordinated collection-building policy? If not, why not? If so, how does it work and what has been your experience with it? May we have a copy?

VI. FINANCES

1. From what sources does your agency receive its support? By what means (taxes, grants, contracts, fees, etc.)? Express as approximate percent of total support.

2. How and by whom is the system budget developed annually?

3. If the system uses membership fees, how are they determined? Do members generally agree on this method and their resultant assessments?

4. Is the present PLSA formula adequate? In amount? In the way funds are distributed?

5. Where should/could additional funds come from -- Federal -- State -- County -- City -- Other?

6. Do you feel that libraries will be forced to abandon the local property tax as the primary source of local financing, as education may be forced to do?

7. Have you obtained any LSCA funds for system projects? Did you find the procedures cumbersome or difficult? What projects are currently seeking LSCA funding?

8. Are any portion of your ongoing operations funded by LSCA? If so, do you have a plan for financing these operations out of system funds?

*9. What new services would you like the system to offer? What would you estimate their costs to be (development and ongoing)?

*10. Assuming adequate funds were available, what improvements in existing services or new services would produce the greatest benefit? (Rank 1, 2, 3, etc.)

- Centralized cataloging -- processing (at system level or State level)
- More materials in headquarters library
- More materials in local library
- More staff in headquarters library -- system level
- More staff in local libraries (specify)
- Improved staff development programs
- Better access to academic and special libraries in system area
- Better delivery systems
- Improved services to special groups -- aged, institutionalized, disadvantaged, business, government, etc. (specify)
- New services (specify)
- Other (specify).

11. Do you at present have any formal contracts for service among member public libraries or systems? Intersystem? With other types of libraries?

VIII. STAFF DEVELOPMENT

1. Describe (in more detail than the annual report shows) any efforts made by the system to train member library staff members to make the best use of system resources and otherwise to upgrade staff performance in member libraries.

2. Who is responsible at the system level for staff development or in-service training?

3. What training activities have been offered by the system in the last three years? By the State Library? Include the following for each activity offered:

   a. Subject
   b. Target group
   c. Impact (number attended -- evaluative data).

4. Has any data been gathered on improvement of library service resulting from staff development?

5. Introduce and leave personnel inventory form.

6. Has the system been effective in assisting the member libraries to find qualified personnel by maintaining a master personnel resource pool? By providing temporary personnel during emergencies? By identifying personnel who might transfer from one member library to another?

VIII. INTERFACE

1. What consultant services does the State Library provide to:

   a. The system?
   b. The member libraries?
   c. To other libraries in the system area?

2. What other services do you receive from the State Library? Are you satisfied with these services? Are there other services you would like from the State Library?

3. Describe any formal or informal relationships you have with other libraries (not part of the system), library systems, networks, consortia, etc. Do any cooperative library groupings exist in your service area that you are not associated with?

4. What types of LSCA projects involving intersystem or interlibrary types of cooperation have you participated in? . . . Are you currently seeking funds for?

IX. PROBLEMS

1. What problems are most often discussed in systemwide meetings?

2. Are there any geographic areas or specific socioeconomic groups you are not adequately serving? If so, who are they? What type of resources would be required to serve these areas?

3. Do you see any significant problems in the State Library -- Library Systems -- Member Libraries service chain as it is structured, funded and operated now? Please explain this chain as it operates in your particular case. (Note: e.g., problems of equity -- are the stronger libraries used more by nonresidents without compensation or do

certain libraries receive more from or contribute more to system services? Other possible problem areas might involve clarification of roles and relationships, pockets of unserved population, processing or interloan delays, inadequate resources (staff, materials, etc.), need for a strongly staffed separate secretariat, backstopping arrangements, communication problems, inadequate bibliographic tools, etc. The list could go on endlessly and is meant only to help the interviewee. It will probably be best to ask simply for something like the three (?) most serious problems.)

X. SUGGESTIONS

1. What would be the ideal structure of services and resources to back up local libraries? Should there be a single strong central library agency such as the State Library which would serve the entire State in this capability? Or should local libraries, either public or other types of libraries throughout the State, be further strengthened and compensated in some way for backup service? Is there a need for one or more strong "central" or "resource" libraries in every system? How important are geographic considerations in selecting an ideal structure?

2. What proportionate share of the cost of public library service should be borne by the various levels of government – Federal, State, County, Municipal, etc.? With respect to the State share, what formula would you like to see for its distribution?

3. Which library functions best lend themselves to centralization, and to what degree?

4. Is there any other kind of structure that you feel might make your system more effective?

5. Would merger of your system with one or more other systems yield any advantages?

XI. DATA, STUDIES, ETC.

Note: This is only a covering question at the end to try to pick up anything of this nature they may have that has not come out in the responses to the questions.

QUESTIONS FOR SYSTEM PERSONNEL

SINGLE JURISDICTIONAL SYSTEMS

I. ORGANIZATION/STRUCTURE

1. Would you briefly trace the history of the system?
2. Describe the relationship of the system to City (County) government.
3. Has the organization or structure of the system been affected by the PLSA? If so, how?
4. Has the organization or structure of the system been affected by the LSCA? If so, how?
5. How many branches are there in the system? What is the population served by the system as a whole?

II. GOALS AND OBJECTIVES

1. Does your agency have a written statement of goals and objectives? May we have a copy?
2. If a service plan is filed with the State, is it still current?
3. Please rank the objectives in the order of their importance. Is there a time dimension associated with each of these objectives?
4. How are goals and objectives arrived at in your agency?
5. By what means does the agency measure the amount of progress toward objectives? What measures are being used?
6. Have you made evaluation studies of any aspect of your program or do you have any ongoing evaluation programs in a form that we could take away with us?
7. Have the goals of the system changed in any significant way in the past ten years?

III. SERVICES PROVIDED

1. What specific services does the system provide?
2. Have PLSA funds enabled you to create new services or expand existing services? If so, please describe.

3. What programs have you provided through LSCA funds?

4. What additional services would you like to offer?

5. What records do you keep regularly or on a sampling basis that relate to your services?

   - Activity data
   - Cost data.

6. Who keeps the records for the system? Does the system have control over which records are kept (program budgeting versus line item budgeting)?

7. Have you developed or attempted to develop any standard or unit costs for system services?

8. Have you conducted any performance tests of system services?

9. Do you provide any services to other libraries, public or nonpublic? If so, how are you reimbursed for these services? How did you determine the reimbursement rate or formula?

IV. SERVICES RECEIVED

1. Are any system services provided by some other public agency, library, system, CSL, etc.? Which? By whom?

2. Do you reimburse the agency for providing these services? On what basis?

V. RESOURCES

1. What is the size of the collection at the main library? How are its resources made available within the system?

2. Do you have any specific data or studies relating to ILL:

   - Volume of requests
   - Percent filled
   - By whom
   - Fill time
   - Analyses
     - Subjects
     - Costs
     - Etc.
   - Comparison with presystem experience.

3. Is the present PLSA formula adequate? In amount? In the way funds are distributed?

4. Where should/could additional funds come from? Federal – State – County – City – Other?

5. Do you feel that libraries will be forced to abandon the local property tax as the primary source of local financing, as education may be forced to do?

6. Have you obtained any LSCA funds from system projects? Did you find the procedures cumbersome or difficult? What projects are currently seeking LSCA funding?

7. Are any portion of your ongoing operations funded by LSCA? If so, do you have a plan for financing thee operations out of system funds?

8. Assuming adequate unds were available, what improvements in existing services or new services would poduce the greatest benefits? (Rank 1, 2, 3, etc.)

   - More materils in main library
   - More materils in branches
   - More staff in main library
   - More staff in branches
   - Better acces to academic and special libraries in the area
   - Better delivry systems
   - New servics to special groups – aged, institutionalized, disadvantaged, business, government (specify)
   - Other new srvices (specify)
   - Other (specly).

VII. STAFF DEVELOPMEN

1. Describe (in more etail than the annual report shows) any efforts made by the system to train branch staff members to make the best use of system resources and otherwise to upgradestaff performance in a branch.

2. Who is responsible atthe system level for staff development or in-service training?

3. What training activies have been offered with system funds in the last three years? . . . By the Stte Library? Include the following for each activity offered:

   a. Subjmt
   b. Target grou
   c. Impact (nurber attended – evaluative data).

4. Has any data been stored on improvement of library service resulting from staff development?

VIII. INTERFACE

1. What consultant servics does the State Library provide to your system?

2. What other services do you receive from the State Library? Are you satisfied with these services? Are there other services you would like from the State Library?

3. Describe any formal or informal relationships you have with other libraries (not part of the system), library systems, networks, consortia, etc. Do any cooperative library groupings exist in your service area that you are not associated with?

IX. PROBLEMS, OPINIONS

1. When you think back over the meetings of your top administrative group over the last year or two, what have been the main problems confronting you as a system?

2. Are there any geographic areas or specific socioeconomic groups you are not adequately serving? If so, who are they? What type of resources would be required to serve these areas?

3. The Legislative Analyst appears to suggest, at least by inference, that State funds should be reserved largely for cooperative, as distinct from single jurisdictional systems. (740/EDUCATION) Do you think that is a reasonable interpretation of his report? If so, what is your reaction?

4. With respect to the State's share of library support, what formula would you like to see for its distribution?

5. What would be the ideal structure of services and resources to back up public libraries? Should there be a single strong central library agency, such as the State Library, which would serve the entire State in this capacity? Or should local libraries throughout the State be further strengthened and compensated in some way for backup service? Is there a need for one or more strong "central" or "resource" libraries in every system? How important are geographic considerations in selecting an ideal structure?

6. You have been in a position to observe the development of the multijurisdictional systems almost as an outsider. What is your impression? Where have they succeeded? Where have they failed? What are their main problems?

X. DATA, STUDIES, ETC.

Note: This is only a covering question at the end to try to pick up anything of this nature they may have that has not come out in the responses to the questions. Occasionally there might be something really useful.

QUESTIONS FOR SYSTEM MEMBER LIBRARIES

I. ORGANIZATION/STRUCTURE

*1. Would you briefly trace the history of your library?...Your association with the system? When and why did you join the system? (For member libraries large enough to meet the eligibility requirements) Why did you join a cooperative system instead of applying for State funding as a single jurisdictional system?

2. What were (and currently are) the requirements for affiliation with the system?

   a. Financial
   b. Resource access
   c. Organizational
   d. Geographic
   e. Other.

3. With what unit, or units, or government is this library associated, and what is its relationship to that agency? What body determines the libraries policies? Who are the members of that body (librarians or laymen)?

4. How is the library represented at the system level?

5. Has the organizational structure of the library changed since you joined the system?

II. GOALS AND OBJECTIVES

1. How are the system's goals and objectives determined? How do system goals assist you in achieving your objectives as an individual library?

2. How do you measure progress toward achievement of objectives?

3. Have you performed on a local level a "needs" analysis to identify nonusers and unserved groups? How have you tried to attract nonusers? Has your acquisitions policy or service plan been changed as a result of your needs analysis?

4. Has membership in the system enabled you in any way to extend local library service? How?

5. Has your program planning improved as a result of any system coordination, or exposure to the programs of other member libraries? If so, how significant has this been? Do you envision further planning at the system level in the future?

6. Have the goals of the library changed significantly since joining the system?

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*Tabulation of the responses for questions denoted by an asterisk is provided beginning on C-7

III. SERVICES RECEIVED

1. What specific services does your agency receive from the system? (Here we will have a matrix showing our services classification and review these activities (from the system interview) with the interviewee.)

2. Does the system operate, by contract or otherwise, any direct services to member library patrons, such as bookmobile service, mail order service, etc.?

3. On what basis, and by whom, were (are) the services the system provides to member libraries chosen?

* 4. What additional services would you like the system to offer?

5. What records do you keep regularly that relate to your services?...Your use of the system services?

   - Activity data
   - Cost data.

* 6. Have there been any studies, or analyses, of the impact of system services on the member library patrons?

   *a. How would you characterize the quality of library service which the users of your library receive as a result of your membership in the system, compared to what it would be if your library was not in the system?

   _____ About the same
   _____ a little better
   _____ much better.

   b. Do you have any objective evidence to support your opinion?

   c. What specific services, or advantages, do your users gain from your participation in the system?

   *d. Which of these services would you least want to give up?

7. Do you have any brochures, procedures or other printed materials describing the system's services?

* 8. In your opinion, what are the three most important services provided to member libraries by the system? Which do you use the most?

* 9. Are there any services performed by the system which you or other member libraries feel you could perform more effectively (or less costly) on a local basis?

10. Have you conducted any performance tests of systems services? (Speed, accuracy, etc.)

11. Has belonging to the system enabled you to serve a greater percentage of the population residing in your service area? If so, how?

IV. SERVICES PROVIDED

1. Do you provide any services to the system (or system members)? Which services? To whom?

2. Do you provide any services to other libraries, public or other, not affiliated with the system? Which services? To whom?

3. How are you reimbursed for providing these services?

4. How are blind and physically handicapped persons living within your service area served? Residents of institutions?

V. RESOURCES

1. Where are the majority of the system's resources? By what means are these resources made available?

_____ ILL
_____ Direct Loans (in person)
_____ In-library reference
_____ Other -- specify

Have these access methods generally been adequate?

2. What did your library do about ILL's before you were a member of the system?

3. What is your policy regarding use of your library by persons who are not residents of your service area but are residents of the system's service area? If you allow free direct access, are there any restrictions as to age of users, types of materials, fees, etc.?

4. Has nonresident use (ILL's, loans, in-library use) of your library increased because of your membership in the system? Is it now, or is it likely to become a problem?

5. Does the system provide any special collection at the system level? Please explain.

6. Has the system attempted to collectively assess the resource needs of its member libraries?

7. Does the system have a coordinated collection-building policy? If not, why not? If so, how does it work and what has been your experience with it? May we have a copy?

VI. FINANCES

1. From what sources does your agency receive its support? By what means -- taxes, grants, contracts, fees, etc. Express as approximate percent of total support.

2. If the system uses membership fees, how are they determined? Do members generally agree on this method and their resultant assessments?

3. What does your library contribute to the system effort in:

   Services
   Staff time
   Money
   Resources
   Other (specify).

* 4. Do you feel that the money spent on system services could be better used if it came to your library as a cash payment? (Your proportionate share only.)

5. Is the present system funding adequate? Would you favor any changes in the magnitude or distribution of PLSA funds?

6. Where should/could additional funds come from -- Federal -- State -- County -- City -- Other?

7. Do you feel that libraries will be forced to abandon the local property tax as a primary source of local financing, as education may be forced to do?

8. Have you obtained any LSCA funds for local or system projects? Did you find the procedures cumbersome or difficult?

* 9. What new services would you like the system to offer? What would you estimate their costs to be (development and ongoing)?

*10. Assuming adequate funds were available, what improvements in existing services or new services, would produce the greatest benefits? (Rank 1, 2, 3, etc.)

   _ Centralized cataloging -- processing (at system level or State level)
   _ More materials in headquarters library
   _ More materials in local libraries
   _ More staff in headquarters library -- system level
   _ More staff in local libraries (specify)
   _ Improved staff development programs
   _ Better access to academic and special libraries in system area
   _ Better delivery systems
   _ Improved services to special groups -- aged, institutionalized, disadvantaged, business, government, etc. (specify)
   _ New services (specify)
   _ Other (specify)

VII. STAFF DEVELOPMENT

1. Describe (in more detail than the annual report shows) any efforts made by the system to train member library staff members to make the best of system resources, and otherwise to upgrade staff performance in member libraries.

2. What in-service training activities have been offered in the last three years by the system? . . .By the State Library? To what extent have you participated in these activities? Have they bee valuable to you?

3. What improvements, if any, could be made in system sponsored in-service training?

4. Has any data been gathered on improvement of library service resulting from system sponsored staff development efforts?

5. Has the system been effective in assisting the member libraries to find qualified personnel by maintaining a master personnel resource pool? By providing temporary personnel during emergencies? By identifying personnel who might transfer from one member library to another?

VIII. INTERFACE

1. Describe your relationship with the school libraries in your area. Do you have any data to indicate whether the proportion of use of your library by students, of all ages, has increased or decreased over the past five years?

2. Does your library receive any services directly from the State Library? Are you satisfied with these services? Are there other services you would like from the State Library?

3. Has your relationship with the system, or other member libraries, changed significantly since you joined the system?

4. Describe any formal or informal relationships you have with other libraries (not part of the system), library systems, networks, consortia, etc. Do any cooperative library groupings exist in your service area that you are not associated with?

5. Do you have any kind of working relationship, formal or informal, with any other libraries except through the system? Do you feel there would be advantages in extending service interrelationships to other libraries, especially other types of libraries – college and university, school or special?

6. Have you, or are you currently, participated (ing) in any LSCA projects involving intersystem or interlibrary types of cooperation? What has been your experience?

IX. PROBLEMS

1. What problems are most often discussed in systemwide meetings?

2. Are there any geographic areas or specific socioeconomic groups you are not currently serving? If so, who are they? What type of resources would be required to serve these areas?

3. Do you see any significant problems in the State Library -- Library Systems -- Member Libraries service chain as it is structured, funded and operated now? (Note: e.g., problems of equity -- are the stronger libraries used by more nonresidents without compensation, or do certain libraries receive more from or contribute more to system services? Other possible problem areas might involve clarification of roles and relationships, pockets of unserved population, processing or interloan delays, inadequate resources -- staff, materials, etc., need for a strongly staffed separate secretariat, backstopping arrangements, communication problems, inadequate bibliographic tools, etc. The list could go on endlessly, and is meant only to help the interviewer prime the interviewee. Probably it will be best to ask simply for something like the three (?) most serious problems.)

X. SUGGESTIONS

1. What would be the ideal structure of services and resources to back up local libraries? Should there be a single strong central library agency, such as the State Library, which would serve the entire State in this capacity? Or should local libraries, public or other types of libraries, throughout the State be further strengthened and compensated in some way for backup service? Is there a need for one or more strong "central" or "resource" libraries in every system?

2. What proportionate share of the cost of public library service should be borne by the various levels of government -- Federal, State, county, municipal, etc.? With respect to the State share, what formula would you like to see for its distribution?

3. Which library functions lend themselves to centralization, and to what degree?

4. Would merger of your system with one or more other systems yield any advantages?

XI. DATA STUDIES, ETC.

Note: This is only a catchall question at the end to try to pick up anything of this nature they may have that has not come out in the responses to the questions. Occasionally there might be something really useful.

SYSTEM MEMBER LIBRARIES

TABULATION OF QUANTITATIVE RESPONSES

I-1 . . . Why did you join the system?

Reasons for joining	No. of responses
Availability of funds	19
Equal/wider access	15
Better reference service	12
Processing	9
Interlibrary loans	4
Special collections	3
Films	3
Extended local services	1
Communications -- TWX	1
Access to professional staff	1
Access to system book catalog	1
Eliminate jurisdictional problems	1

III-4 See VI-10

III-6(a) How would you characterize the quality of library service which the users of your library receive as a result of your membership in the system, compared to what it would be if your library was not in the system?

	No. of responses	% of responses
About the same	2	6.1
A little better	7	21.2
Much better -	24	72.7

III-6(d) Which of these services would you least like to give up?

	No. of responses
Interlibrary loan	11
Equal/wider access	10
Reference	6
Processing	3
Films	2
Delivery/communication	2

III-8 In your opinion, what are the three most important services provided to member libraries by the system? Which do you use the most?

	No. of responses
Interlibrary loan	42
Reference	40
Films -- A-V	24
Delivery/communications	15
Equal/wider access	13
Union catalogs	6
Processing	4
Outreach	3
Staff development	3
Children's services	1

III-9 Are there any services performed by the system which you or oth.. member libraries feel you could perform more effectively (or less costly) on a local basis?

	No. of responses
Yes	42
No	12
No opinion	5

Services*

Technical services	8
Reference	6
Purchasing	1
Outreach	1

*two respondents cited more than one service

VI-4 Do you feel that the money spent on system services could be better used if it came to your library as a cash payment? (Your proportionate share only.)

	No. of responses
Yes	4
No	22
Qualified response	7

VI-5 See VI-10

VI-10 Assuming adequate funds were available, what improvements in existing services or new services, *would produce the greatest benefits?* (Rank 1, 2, 3, etc.)

Service	No. of responses Top 1/3	Mid 1/3	Low 1/3	Mean score*
More materials in headquarters library	26	19	9	3.889
More materials in local libraries	23	21	7	4.088
More staff headquarters library -- system level	25	13	16	4.236
Improved services to special groups -- aged, institutionalized, business, etc.	16	31	9	4.446
Better access to nonpublic libraries in system area	21	19	15	4.537
Improved staff development programs	14	24	17	4.982
More staff in local libraries	11	9	27	5.723
Centralized cataloging/processing	10	1	27	5.826
Better delivery systems	6	15	24	6.089
Other services:				
Audio-visual/films (10 responses)	12	3	3	3.750
Public Relations Staff (7 responses)	6	1	--	2.857
Centralized circulation (6 responses)	5	1	--	2.500
Staff Specialists/Consultants (5 responses)	2	2	1	5.200
Union Book Catalog (5 responses)	5	--	--	1.200
System Coordinator (4 responses)	4	--	--	1.500

*Mean score is the average of the individual rankings assigned to a service.

QUESTIONS FOR NONSYSTEM MEMBER LIBRARIES

I. ORGANIZATION/STRUCTURE

1. Would you briefly trace the history of your library?

* 2. Why have you chosen not to participate in the library system(s) in your area?

3. With what unit, or units, or government is this library associated, and what is its relationship to that agency? What body determines the libraries policies? Who are the members of that body (librarians or laymen)?

II. GOALS AND OBJECTIVES

1. How are the library's goals and objective determined? Do you have a written statement of goals and objectives? May we have a copy?

2. How do you measure progress toward achievement of objectives?

3. Have you performed on a local level a "needs" analysis to identify nonusers and unserved groups? How have you tried to attract nonusers? Has your acquisitions policy or service plan been changed as a result of your needs analysis?

III. SERVICES

1. Does your library operate, by contract or otherwise, any direct services to library patrons, such as bookmobile service, mail order service, etc.?

2. On what basis and by whom were (are) the services the library provides chosen?

* 3. What additional services would you like to offer?

4. What are the circumstances under which you feel it would be of advantage to your users to join a system?

5. Have there been any studies, or analyses, of the impact of library services on library patrons?

6. How would you characterize the quality of library service which the users of your library receive as a result of the library not belonging to a system compared to what you think it would be if you joined a system?

* 7. Are there any services you performed which you feel could be better performed by a system?

---

* Tabulation of the responses for questions denoted by an asterisk is provided beginning on D-5.

8. Have you conducted any performance tests of your services (speed, accuracy, etc.)?

* 9. Would belonging to a system enable you to serve a greater percentage of the population residing in your service area?

10. Do you provide any services to other libraries, public or other? Which services? To whom?

11. How are you reimbursed for providing these services?

12. What records do you keep regularly that relate to your services?

    - Activity data
    - Cost data.

13. How are the blind and otherwise physically handicapped persons living within your service area served?

14. Are there any geographic areas of specific socioeconomic groups you are not currently serving? If so, who are they? What type of resources would be required to serve these areas?

IV. RESOURCES

1. What do the users of your library do when they need materials or services which your library cannot provide?

* 2. What does you library do about ILL's?

3. Can you, and do you, use the State Library for any of the services which a system might provide, such as backup reference service or ILL's?

4. Are there libraries, other than the State Library, from which you borrow regularly for your patrons? Can your patrons make regular direct use, in person, of any such libraries for: In-library reference purposes_____? Loans_____? How far are such libraries from your library? Does your library, or the user, compensate these libraries for any of the services they allow?

5. What is your policy regarding the use of your library by nonresidents?

6. How have you assessed the resource needs of your library?

7. What is you collection-building policy? If written, may we have a copy?

V. FINANCES

1. From what sources does your agency receive its support? By what means – taxes, grants, contracts, fees, etc.? Express as approximate precent of total support.

2. Where should/could additional funds come from – Federal – State – County – City – Other?

3. Do you feel that libraries will be forced to abandon the local property tax as a primary source of local financing, as education may be forced to do?

4. What new services would you like your library to offer? What would you estimate their costs to be (development and ongoing)?

VI. STAFF DEVELOPMENT

1. Describe any efforts may by the library staff members to upgrade staff performance.

2. What in-service training activities have been offered in the last three years by the State Library? To what extent have you participated in these activities? Have they been valuable to you?

3. What improvements, if any, could be made in State sponsored in-service training?

4. Has any data been gathered on improvement of library service resulting from State sponsored staff development efforts?

VII. INTERFACE

1. Describe your relationship with the school libraries in your area. Do you have any data to indicate whether the proportion of use of your library by students, of all ages, has increased or decreased over the past five years?

2. Does your library receive any services directly from the State Library? Are your satisfied with these services? Are there other services you would like from the State Library?

3. Do you feel there would be advantages to your users to develop some kind of service relationship, perhaps by contract, with any other library of any type in your area?

4. Do you have any kind of working relationship, formal or informal, with any other libraries, systems, networks, etc.? Do you feel there would be advantages in extending service interrelationships to other libraries, especially other types of libraries – college and university, school or special?

VIII. SUGGESTIONS

1. What would be the ideal structure of services and resources to backup local libraries? Should there be a single strong central library agency, such as the State Library, which would serve the entire State in this capacity? Or should local libraries, public or othe types of libraries, throughout the State be further strengthened and compensated in some way for backup service? Is there a need for one or more strong "central" or "resource" libraries in every geographic area?

2. What proportionate share of the cost of public library service should be borne by the various levels of government – Federal, State, county, municipal, etc.? With respect to the State share, what formula would you like to see for its distribution?

3. Which library functions best lend themselves to centralization, and to what degree?

IX. DATA, STUDIES, ETC.

Note: This is only a covering question at the end to try to pick up anything of this nature they may have that has not come out in the responses to the questions. Occasionally there might be something really useful.

NONSYSTEM MEMBER LIBRARIES

TABULATION OF QUANTITATIVE RESPONSES

I-2 Why have you chosen not to participate in the library system in your area?

Reasons for not joining	No. of responses
Perception of system costs outweighing benefits	9
Status quo is satisfactory	3
Prefer intertype structure	2
Prefer contractual arrangement for selected services	1
Unavailability of funds	1

III-3 What additional services would you like to offer?

Services to special groups – aged, minorities, institutionalized, etc.	5
Audio-visual/films	5
Additional microfilm and microfiche materials	2
Needs analysis	1
Better facility	1
Automated Circulation System	1
Spanish Language Collection	1

III-7 Are there any services you perform which you feel could be better performed by a system?

No services	3
Processing	3
Cataloging	2
Interlibrary loan	2
Reference	2
Film	1
Special collections	1
Purchasing	1
Union catalog	1

III-9 Would belonging to a system enable you to serve a greater percentage of the population residing in your service area?

No	8
Yes	1
Unsure	1

IV-2 What does your library do about ILL's?

We go to:	No. of responses
California State Library	6
California State Library and Public Libraries	3
Public Libraries	1
Intertype	1

INSTRUCTIONS FOR REFERENCE SURVEY

The following instructions were used by the project team in conducting the reference survey presented in Chapter 5 of the report.

The objective of the survey was to test the effectiveness of system member libraries in providing reference service. To do this, a group of ten system member libraries and ten nonsystem libraries of approximately equal size were selected. Three separate tests, simulating three of the major components of public library reference service, were performed in each of the 20 selected libraries.

The first test, performed by the consultant at the time each library was interviewed, consisted of making two requests for materials not held by that library. The second and third tests, performed by a reference librarian, consisted of a telephone request for specific information (Test No. 2) and an in-person request for assistance on an in-depth research question (Test No. 3).

TEST I

This test is to be administered in the member/nonmember libraries at the time of the general interview by the interviewer.

Objectives

Its primary purpose will be to test the delivery systems; however, it has been designed to furnish at the same time some useful information about the collections, some of the bibliographic tools available in the libraries, photoreproduction services and, perhaps most importantly, whether system affiliation improves the level of service.

Procedure

At the conclusion of the general interview, tell the library director what you plan to do, briefly. Tell her or him:

1. You want to check a few titles in the catalog.

2. If you have any questions or difficulties, you will ask someone for help. You prefer that the director *not* introduce you to the staff person or otherwise assist you.

3. You may request an item or two from your list as an interlibrary loan, and again you prefer that the request be handled in a routine manner.

4. You will leave with someone a form to be completed and mailed to you, reporting the result of the interlibrary loan request.

5. Explain that the library will not be identified – that this is one of several tools being used to give you an idea of the kinds of services different libraries provide, etc. (This is important, although they will worry anyway.)

6. Try to avoid showing anybody the whole list, mainly for reasons of security but also because it would be impossible to devise any list that any two librarians would consider to be a fair test of anything.

There are ten items on the list, including book titles, periodicals, a newspaper, a government document and a film. For each item except the film, a specific page reference or a reference to a specific article has been given. (You will note also that there are some extras which can be substituted if you run into problems with any of the items on the list.)

If possible, the entire list of ten titles should be checked in each of the libraries. If it is not too costly, one complete item might be requested – probably a book or a film – and a photocopy of one of the specific references from a different item on the list. (Only a page or two would serve the purpose.) Obviously, these should be items not held by the library being tested. Insofar as possible it would probably be desirable to request the same items from a nonmember library and its member library control. Otherwise, try to vary the requests. It would affect the results, for example, if four or five requests for the same item were to funnel up to the State Library.

If should only take a few minutes for the interviewer to check the book titles on the list in the library's catalog. It will probably be necessary to ask for assistance or direction with the other items, although the library should have some means by which a user, such as you will be, can check periodical holdings, films and possibly even the newspaper reference.

In making the ILL requests, try to give the library person a little room for various responses, e.g., "I don't find this listed; does that mean you don't have it?" In other words, it would be interesting to know whether they offer to go further with it or if you have to press for that kind of response.

Try to find out how the ILL system is supposed to work – how the patron is notified, delivery arrangements, etc., while you are there, and be sure to leave a notification form and return envelope for the library to use in reporting the results.

Rating the Results

From your visit, the following should be noted:

1. Whether the library does or does not have *in its own collection* each of the items, from one to ten.

2. What bibliographic tools were available – card catalog, book catalog, catalog of film holdings, union list of system periodical holdings, etc.

3. Printed or other instructions, physical arrangements, etc.

4. Whether the public library system was mentioned as a potential resource for filling your request.

From the notification form, the following should be developed:

5. The outcome of the request

   a. Filled, unfilled, substitution, miscellaneous comment

   b. If a photocopy, its cost, legibility, etc.

6. Elapsed time

   a. Date item was requested

   b. Date item was received by library

   c. Date you received notification that item was being held at library or that it could not be filled.

7. Information on communication and delivery methods employed, including the method of notification.

Your reactions, as a nonlibrarian, are also important in providing a qualitative dimension to the results. Please note the following:

8. Quality of assistance you received

   a. Staff attitude

   b. Knowledge of collections and procedures.

9. Any other comments on the service, collection, facilities, etc.

Finally, a composite score should be assigned to each library participating in the test:

10. Rank the overall performance of each library

    a. Excellent, satisfactory, unsatisfactory

    b. State the reasons for all ratings which differed from "satisfactory."

TEST II

This test to be administered in the member/nonmember libraries, by telephone, independently of the general interviews.

Objectives

The main purpose of the test will be to learn how the libraries handle a relatively uncomplicated, factual question which can be answered over the telephone but which, we expect, will require sources beyond the local library to answer. It should not involve a great amount of time, and in combination with Groups I and III, should help to indicate some patterns.

Procedure

Presumably, the calls will be placed from the LA office of PMM&Co. without identifying the caller. However, caller should be prepared with an answer if asked. Be evasive if necessary, but don't lie. Give real name if asked. If asked for address, say you are calling from out of town. If they force the question of residency, tell them you are *not* a resident of _____ and ask if it makes a difference. If the answer is affirmative, thank them graciously and say you work it out some other way and hang up without disclosing the PMM&Co. connection.

TEST I – REQUEST FOR MATERIALS NOT HELD BY LIBRARY VISITED

NOTIFICATION FORM

When the entire ILL operation is completed, please fill in the appropriate items below and send in the stamped, self-addressed envelope provided to:

Name of person requesting materials
Address

Item requested _____

Date requested _____

If request is filled:

Date item was received in your library _____

Date it normally would have to be returned to your library _____

Name of library which furnished the item _____

Library system or network employed in obtaining the item _____

_____

If filled request is in the form of a photocopy, please enclose.

If you have a special form for notifying borrowers, please enclose a copy.

If request is NOT filled:

Date notification that request could not be filled was received in your library _____

_____

Reason request could not be filled _____

_____

Comments:

Name of library _____

by _____

On the follow-up, if they offer to call back, say that your schedule is uncertain and could you call them back; find out when.

It would be desirable to use the same question for a nonmember library and its control library. Obviously, some of the questions will require more sophisticated resources than others, so use your best judgment about which one to use, and where. Actually, I suppose the same question could be used all the way through, if they are dependent on different libraries for backup. (The question on "tides" might be OK.) Ideally, the questions should be asked in all 20 libraries over as short a period of time as possible.

Rating Factors

Elapsed time – From date and hour of call to day and hour of completion; it may be difficult to get a completion time because of the probelm of calling back.

Response – (Keep a record of which question was asked, of course.) Was the question answered? Not answered? Caller referred to another source, e.g., "Try the U.S. Coast Guard"? Accuracy of answer? Was the information current? Completeness of answer? Attitude of library person: helpful, knowledgeable, etc.? Did the library refer the question to another source – library system, U.S. Coast Guard, network, what-have-you? (It will be important to note whether the library *offered* to take it further.) To whom was it referred?

Miscellaneous – Anything that relates to the transaction, especially if it indicates staff competence, materials resources, use of cooperative arrangements, etc. Specifically, were there any problems about residence?

In a real life situation, would you have been satisfied with this library's response?

TEST III

As in Tests I and II, this test will be used in all of the member/nonmember libraries in the sample. A single, rather involved reference question will be asked in each library by someone who visits the library for that purpose only.

Objectives

From this test we hope to evaluate several factors – the library's on-site resources; the resources to which the library has access beyond its own resources; how and how effectively the machinery for access to these resources works; the caliber of staff assistance in making use of the library, etc. Since the same question will be used in all libraries, there will be an opportunity for comparing results among all of the libraries tested.

TEST II – TELEPHONE REFERENCE QUESTIONS

Date: _____

Name of library _____

Reference question asked _____

_____

_____

Date and hour of call _____

Date and hour of completion _____

Was the question answered? _____ Not answered? _____

Caller referred to another source? _____

Accuracy of answer? _____

Was the information current? _____

Completeness of answer _____

Attitude of library person: Helpful, knowledgeable, etc.? _____

_____

Did the library refer the question to another source – library system, etc.? _____

_____

Did the library offer to take it further? _____

_____

Were there any problems about residence? _____

Miscellaneous: Anything that relates to the transaction, especially if it indicates staff competence, materials resources, use of cooperative arrangements, etc.

_____

_____

_____

Procedure

An unidentified member of the PMM&Co. team, a reference librarian, will visit each library and ask the reference question. The question should not be so difficult or obscure that any public library should not be able to get started on it, but it should require fairly extensive resources and some imagination to do a really good job.

There are obvious advantages to using the same question in all twenty libraries, and since they are fairly widely distributed geographically and no two libraries are members of the same system, there seems to be no reason why it should cause any stir among the libraries tested.

Since there may be follow-up involved, a return visit may be necessary. Again, if asked, we would give our real names and identify ourselves as nonresidents. If necessary, we will purchase a nonresident card to resolve residence problems.

The Question

I am interested in learning about the employment patterns of immigrants in the State of California in relation to their cultural and educational backgrounds, and their residence. Also, how well have immigrants fared as a whole in relation to the California job market?

A small public library might get started on this by simply using the *Reader's Guide* and other local reference tools, but a complete answer would involve a variety of periodical indexes, books, government documents, pamphlets, films, etc. The question, if pursued, would theoretically create a number of information requests that could only be satisfied at a research level.

Rating the Response

In general, most of the same factors would be involved as in Groups I and II. In this situation, however, there is more opportunity for the staff person or persons to demonstrate imagination, diligence, knowledge of materials, etc. The completeness of the answer and the extent of the search procedure will be the most significant factors in evaluating each library's performance.

Again, in a real life situation, how helpful would this library have been?

ANALYSIS OF RESULTS

When the tests are completed and the data compiled, it will be reviewed by the entire study team. Following this review, Mr. S. G. Prentiss will analyze the data in detail and report his findings to the team for inclusion in the final report (Chapter 5).

TEST III – IN-PERSON REFERENCE INQUIRY

Date:

Name of library:

Name of library:

Reference question asked: Employment patterns of immigrants in the State of California in relation to their culture, education and environment. Also, how well do they perform as a whole in relation to the California job market?

What were some of the sources and methods used by the library personnel to answer the question?

Library's on-site resources – What are they, are they current, etc.?

Does the library have access beyond its own resources?

Does the library offer to take it further?

How effectively the machinery for access to these resources works?

What is the caliber of staff assistance in making use of the library, etc.?

Were there any problems about residence?

Miscellaneous:

TEST I

Primary List of Items

Books

1. Edwards, Jesse E. and Goott, Bernard, *The Illustrated Coronary Fact Book.* Arco, 1974 (p. 35).

2. *Eutrophication: Causes, Consequences, Correctives,* National Academy of Sciences, 1969 (Table of Contents).

3. Pratt, James Bisset, *The Pilgrimage of Buddhism,* Macmillan, 1928 (pp. 36-37).

4. Scrimshaw, Nevin S. and Gorden, John E., eds., *Malnutrition, Learning and Behavior,* MIT Press, 1968 (first two pages of Chapter 1).

5. Segerberg, Osborn Jr., *The Immortality Factor,* Dutton, 1974 (p. 251).

Periodicals

6. *American Sociological Review,* vol. 28, Dec. 1963, Hughes, Everett C., "Race Relations and the Sociological Imagination," (p. 879).

7. *Music Journal,* vol. 25, Oct. 1967, Russell, T. L., "Televising a Symphony Orchestra," (p. 48).

8. *Sky and Telescope,* Dec. 7, 1969, Arp, Halton C., "On the Origin of Arms in Spiral Galaxies," (first page of the article).

Newspaper

9. *New York Times,* July 16, 1971, "Health of Nation Lags Behind Scientific Gains," (p. 8, Col. 1).

Film

10. *The Red Balloon,* Albert Lamorisse, 1959, 34 minutes, color.

TEST I

Supplementary List of Items
(for substitutions)

Books

1. Barber, Joel, *Wildfowl Decoys,* Dover, 1954 (Plate 50, opp. p. 59).

2. Cahn, Lenore, ed., *Confronting Injustice: The Edmond Cahn Reader,* Little, Brown & Co., 1966 (Table of Contents).

3. Carmichael, Hoagy, *The Stardust Road,* Rinehart, 1946 (whole book).

4. Dubos, Rene, *The Dreams of Reason: Science and Utopias,* Columbia University Press, 1961 (p. 39).

5. Ellington, Duke, *Piano Method for Blues,* Robbins Music Corp., 1943 (whole book).

6. Grimes, Alan P., *Equality in America,* Oxford University Press, 1964 (first page of Chapter 2 on "Race").

7. Houwink, R. and Salomon, G., eds., *Adhesion and Adhesives,* Elsevier, 1964 (p. 91).

8. Huxley, Julian S., *Wonderful World of Life,* Garden City, 1958 (whole book).

9. MacLeish, Archibald, *Scratch,* Houghton Mifflin, 1971 (entire play).

10. Lieberson, Stanley, *Ethnic Patterns in American Cities,* Glencoe Free Press, 1963 (p. 83).

Periodicals

11. *American Journal of Mathematics,* vol. 30, 1908, Russell, Bertrand, "Mathematical Logic as Based on the Theory of Types," (p. 222).

12. *Public Opinion Quarterly,* vol. 22, Fall 1958, Isaacs, Harold R., "World Affairs and U.S. Race Relations: A Note on Little Rock," (p. 364).

Government Document

13. U.S. Department of Agriculture, *Insects: The Yearbook of Agriculture,* 1952 (p. 491).

Films

14. *Black Music in America,* Screen Gems, 1971, 28 minutes, color.

15. *Marijuana,* Max Miller, 1968, 34 minutes, color.

TEST II

Telephone Reference Questions

1. Could you give me the dates for NATHAN BANKS? I know that he is not living now, and I think he was an entomologist.

   Answer: 1868-1953. **Source:** *American Entomologists,* p. 180; *World Who's Who in Science*; probably others.

2. Could you give me the address of the CANADIAN CHIROPRACTIC ASSOCIATION?

   Answer: 1900 Bayview Avenue, Toronto, 17. **Source:** *Canadian Almanac and Directory,* 1974, p. 318.

3. Could you give me the address of the AEROJET NUCLEAR CO.? I think it is somewhere in Idaho.

   Answer: 550 Second Street, Idaho Falls, Idaho 83401. **Source:** *World Aviation Directory* (Spring 1974), p. 269; undoubtedly others.

4. What years was the BALTIMORE SATURDAY HERALD published?

   Answer: 1824-27. **Source:** *American Newspapers,* 1821-1936, p. 259.

5. What does the word MENA mean in Swahili?

   Answer: 1. Scorn, disdain, despise; 2. Be rude, etc. **Source:** *Swahili-English Dictionary,* (Catholic University Press, 1967), p. 311.

6. Could you verify the following citation? It is a doctoral dissertation. I suspect that the date is incorrect; I think it may be earlier. And I am not sure that the title is correctly cited. McKain, Walter C., Jr., *The Social Participation of Old People in a California Retirement Community,* 1957, Harvard University Press, 69 pages.

   Answer: The date is 1947. Otherwise, correct. **Source:** *Comprehensive Dissertation Index,* 1861-1972, vol. 17 (Social Sciences), p. 760.

7. Could you tell me what time of day high and low tides will occur at Sitka, Alaska, on August 16, 1974. If not, could you tell me some source for this information?

   Answer: The answer will read:

H.M.	Ft.
0333	0.2
1013	6.8 (Time Meridian – 120 degrees
1523	3.8 west)
2131	8.9

Thus, low tides will be at 3:33 a.m. and 3:23 p.m.; high tides will be 10:13 a.m. and 9:31 p.m., Pacific Standard time. **Source:** U.S. Department of Commerce, Coast and Geodetic Survey, *Tide Tables (1974), West Coast of North and South America,* p. 114.

Note: This source gives the tides for each day of the year for practically any place big enough to be on the map for the entire west coasts of North and South America. There is a similar volume for the east coasts. So the question can easily be varied. Generally, in cities located on or near the coast, the daily paper will give the tides for the day of publication. (Two city libraries I called for "the next high tide today" apparently didn't know that, however, as they gave up after about ten minutes when I said I couldn't wait any longer.) There undoubtedly are other sources; the *World Almanac* used to give it for many places.

PROGRAM DATA COLLECTION

This appendix contains the forms and instructions of the data collection program in chronological order.

Orientation Meeting	July 26/29, 1974	
. Overview		F- 2
. Program Definitions		F- 5
. Personnel Inventory		F- 8
. Time Reporting		F-11
. Activity Data Reporting		F-16
Data Collection Bulletin	August 6, 1974	F-28
Data Collection Bulletin	December 12, 1974	F-33
Program Cost Instructions	December 12, 1974	F-35
Data Collection Bulletin	January 15, 1975	F-43

PUBLIC LIBRARY SYSTEMS STUDY

PROGRAM DATA COLLECTION
ORIENTATION MEETING AGENDA

JULY 26/29, 1974

- DATA COLLECTION OVERVIEW
- PROGRAM DEFINITIONS
- PERSONNEL INVENTORY
- TIME REPORTING
- ACTIVITY REPORTING

Lunch

- PERFORMANCE MEASURES
- COST COLLECTION

PROGRAM DATA COLLECTION – OVERVIEW

The objective of the program data collection effort is to provide information for the analysis of system program costs and performance. The results of such analyses will be used as inputs to the broader evaluation of public library systems in California, including recommendations for revision of the PLSA funding formula.

The scope of the data collection effort is limited to system-level programs and activities. Programs offered by member libraries which are not available to all system members, or are not system-supported, are not to be included in this study. The source of funding for a program, however, is not a prime consideration in determining whether it should be included in the study.

The data collection effort will be primarily self-administered by the systems and the member libraries. Activity and time data will be logged by both system and member library personnel. This data will be compiled at the system level and forwarded to PMM&Co. Each system will appoint a representative to be responsible for the system's participation in the data collection program. The system representative will

- introduce the program to the member libraries,
- distribute the data collection forms and instructions,
- receive, compile and forward the data, and
- provide a focal point for program coordination throughout the system.

There are five major elements to the data collection program. They are as follows:

- Personnel Inventory
- Time Reporting
- Activity Data Reporting
- Performance Measurement
- Program Cost Development.

The data collection period and timing of each of these elements are summarized in the following paragraphs. (Detailed forms and instructions are provided elsewhere.)

The personnel inventory questionnaire is to be completed at the outset of the study and updated as required throughout the data collection period.

Time and activity data will be collected between August 11, 1974 and January 4, 1975. All time data and the activity data for two programs (ILL and ILR) will be reported on a weekly basis; activity data for other selected programs will be reported monthly.

Collection of performance measurement data will be introduced for selected programs as the study progresses. Program performance will typically be measured using sampling techniques for short time periods.

Program costs will be developed at the system level for the period from September 1, 1974 through December 31, 1974. The allocation of line item expenditures to system programs will be performed as soon after the end of the calendar year as is practicable.

The program data collection effort is an integral part of a comprehensive review of public libraries system development in California. The value of system program cost and performance analyses to the development, evaluation and funding of future system programs cannot be overstated. In asking that you participate in this effort, we recognize the increased workloads you will incur. However, we are confident that your efforts will significantly enhance the climate for library systems' funding in California.

PROGRAM DATA COLLECTION

SYSTEM QUESTIONNAIRE

SYSTEM REPRESENTATIVE **SYSTEM** _____

Name: _____

Position: _____

Address: _____

_____

_____

Phone: _____

SYSTEM PROGRAMS

(Please indicate the active programs of your system.)

- Inter-library Loan
- Inter-library Reference
- Audio-visual
- Central Cataloging
- Central Processing
- Outreach
- Bibliographic Resources
- Staff Development
- Aid in Materials Selection
- Publicity and Public Relations
- Other Program
- System Administration
- Program Data Collection
- Unallocated

PROGRAM DEFINITIONS

A *program* is an activity or group of activities directed toward the accomplishment of a goal or specific objective. *Activities* are the elements of the programs. The activities may be the services provided as part of the program or the services required to support the program. The scope of a particular program is defined in terms of the activities included in that program.

Because of the wide variety of program activities provided by the different systems throughout the State, it is unlikely that any single set of definitions will completely describe all of your programs. It is important, however, that a uniform set of program definitions be adopted for this study to provide a common basis for data collection and analysis.

Most of the programs have been succinctly defined to assist you in allocating your resources (hours and dollars) to the appropriate program. For a few of the programs, such as outreach, we are asking that the individual systems define the scope of their particular program. Recognizing that certain systems may have new or unique programs, we have provided for an "other" program to be defined by the system. Use of "other" program should be limited to a single major program, not otherwise defined, that requires a significant amount of system resources. Resources applied to minor system programs or activities not accounted for in the defined programs should be reported as "unallocated."

The following programs have been selected as the core of the data collection effort. Questions regarding the program definitions should be directed to your system representative for clarification.

Inter-library Loan

The inter-library loan (ILL) program involves loans between member libraries or between a member library and other resource libraries outside the system. Transactions between different branches of the same library (i.e., intra-library loans) are not included in ILL. To distinguish ILL from inter-library reference, ILL has been defined to involve either the loan of library materials or the provision of a photocopy in lieu of a loan. The major activities of the ILL program include communications, search, circulation controls, photocopy and delivery service. The development of bibliographic resources is defined as a separate program and should not be included as part of ILL.

Inter-library Reference

The inter-library reference (ILR) program is similar to the ILL program in that intra-library transactions are not to be included. To distinguish ILR from ILL, ILR has been defined as requests for information rather than for library materials. Reference questions may be answered verbally, in writing (letter or teletype) or by provision of a photocopy. Since photocopy may also be used to satisfy an ILL request, the distinction should be based on whether the photocopy was made in lieu of a loan that would have otherwise been made (ILL), or whether the photocopy was made as a more convenient method of answering the reference question (ILR). The major activities of the ILR program include reference desk operation, use of research and information tools, response preparation and communications.

Audio-visual

The audio-visual (A-V) program is defined as a system-sponsored program to provide A-V materials to the member libraries. A-V materials are those which do not meet the definition of a book or a serial (e.g., films, slides, filmstrips, records, cassettes, etc.). Microfilm and microfiche are not considered A-V materials. A-V activities include A-V center operation, cataloging of A-V materials (if performed as a system activity and is separate from central cataloging), circulation controls, delivery and film circuit membership.

Central Cataloging

Central cataloging is defined as a system-sponsored program to provide cataloging services for library materials to the member libraries. Central cataloging activities include catalog research, contract services (e.g., MARC), communications and preparation of catalog cards. Note that this program does not include materials processing or union catalog activities.

Central Processing

Central processing is defined as a system-sponsored program to provide processing services for library materials to the member libraries. Central processing activities typically include receiving, jacketing, labeling, covering and delivery. Related activities that should be excluded from this program are materials selection, purchasing and cataloging.

Outreach

The scope and objectives of outreach programs vary widely between public library systems. A study of program effectiveness, however, must be based on analysis of programs with similar objectives. It is requested, therefore, that each system define the scope and objectives of their particular outreach program. Where system activities such as administration, training, community meetings, audio-visual presentations, special collections and bookmobiles are an integral part of an outreach program, the hours and costs associated with these activities should be reported as part of the outreach program.

Bibliographic Resources

This program involves activities directed toward the development of bibliographic resources for the system. Bibliographic resources are defined to include, but are not limited to, union lists, union catalogs, periodical records, location tools and indexes in any form (e.g., card, book or microform). This program does not include the catalogs and indexes of individual libraries.

Staff Development

Staff development is defined as systemwide activities directed toward the development of professional and clerical staff. Program activities include in-service training, professional library maintenance, and development, presentation and attendance at system workshops and reference meetings.

Aid in Materials Selection

This program involves those activities directed toward assisting the system members in selecting library materials. Particular activities include the preparation of material listings and attendance at selection meetings.

Publicity and Public Relations

This program is defined as system-sponsored activities for publicizing system and member library services. Specific activities include brochures, posters and public service announcements that are not part of the other programs defined for this study. Publicity activities directly related to other programs should be included as part of the particular program.

Other Program

The "other" program is provided for system definition and use in reporting data for a particular system program that is not otherwise defined. Use of "other" program should be limited to a single major program that involves a significant amount of your system's resources. For example, a system-operated bookmobile that is not part of your outreach program should be specified and reported as "other" program.

System Administration

This program is defined as the administrative activities performed for the system. It does not include administrative activities (e.g., payroll) that may be performed by the system for the member libraries. Typical activities for this program include coordination, grant application, bookkeeping and committee work.

Program Data Collection

Program data collection has been provided for reporting significant increments of time required by the data collection effort. This program should be charged primarily by the system's personnel responsible for administering this program. Completion of the individual time records and activity logs will not require significant amounts of time and should not be so reported.

Unallocated

Resources applied to programs other than those defined above, or to activities that do not relate to the defined programs, should be reported as unallocated.

PERSONNEL INVENTORY – INSTRUCTIONS

The Personnel Inventory form should be completed at the outset of the data collection effort by the system personnel director. Any subsequent changes in system personnel should be reported on a Xerox update of this report, or by the submission of a new report.

The explanation of what is required in each column is presented below.

- *Name* – Please list the names of all direct system employees (those paid out of system funds) first, then list all in-kind personnel.

- *System or In-kind* – Enter "S" for direct system employees and "I-K" for in-kind personnel. If part of the person's salary is paid from system funds, then enter "S" and the percentage of his/her salary paid by the system.

- *Location* – Enter the member library or system headquarters where each person is located.

- *Title/Classification* – Enter each person's title (preferably system-level title), or classification.

- *Primary Activity* – Indicate the primary responsibility of each person with respect to system programs or activities.

- *Education* – Give each person's educational background according to the formula below:

  - High school only – enter "HS"
  - Junior college – enter "AA"
  - College – enter "BA" or "BS" and major
  - Graduate – enter degree and major

  If a person is *currently* enrolled in a degree program, please so indicate by placing the degree sought and major in parentheses. For example, if a person had a bachelor's degree in history, a master's in library science, and was working toward a master's in public administration, the entry would be as follows:

  BA – history; MLS; (MPA)

- *Experience* – Please give each person's experience in years (for over ten years, to the nearest five years is sufficient) in the person's area of primary activity, and in library service. For example, if the system reference Coordinator had three years of reference experience, but a total of eight years of combined library experience, the entry would be "3 – 8."

- *Salary* – Please enter the person's annual salary *including* benefits.

- *Hours/Week* – Enter the number of regular payroll hours each person works per week. For example, if a person works a 7½-hour day, five days per week, then enter "37½." If this number varies, then enter the hours/week you anticipate this person will work over the next four months.

PERSONNEL INVENTORY

Date_____ System_____

Name	Direct in-kind	Location	Title/classification	Primary activity	Education	Experience	Salary	Hours/ Week

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WEEKLY TIME RECORD – INSTRUCTIONS

The Weekly Time Record is to be completed by all system direct personnel and employees of member libraries performing system activities on an in-kind basis. The purpose of the form is to record personnel time spent on the various system programs. The following instructions present guidelines for allocating your time to the various programs and procedures for completing and submitting the Weekly Time Record. The individual programs are defined in a separate document.

COMPLETION OF TITLE BLOCK

Most of the information required in the title block is self-explanatory; however, the following should clarify any misunderstandings:

- *Name* – Your name.
- *Location* – Indicate the library or system headquarters where you perform your system activities.
- *Direct/In-kind* – Check "Direct" if you are a paid employee of the system; otherwise check "In-kind" if your time is contributed by your member library on an in-kind basis. If you have any doubt about which of these to check, please contact your system fiscal agent.
- *Week Ending* – Enter the date for the Saturday concluding the report period. Report periods are one week in length.
- *System* – Name of public library system to which you belong.

TIME ALLOCATION GUIDELINES

The data collected will not be used for a time and motion or efficiency study, but will be used to accumulate program data as input to the analysis of public library system programs in California.

You are asked to report your time by programs in increments of no less than ¼ hour per program per day. More convenient increments of ½ hour or full hours should be used where they are representative of the allocation of your time.

In the interest of accuracy, you are encouraged to log your time at the end of each day rather than waiting until the end of the week. Conversely, daily allocation is adequate and continuous posting throughout the day should not be required for most personnel.

Please log only those hours spent on system activities, especially if you are not a direct system employee. If, however, your position requires that you spend your time on a specific activity

(e.g., system reference coordinator), then your time should be allocated to that program, unless specifically applied to other programs. For activities, such as delivery, that serve a number of separate programs, your time should be allocated on the basis of the relative workload of each program.

At the end of each week, please summarize your time record by adding the rows and columns and completing the appropriate "total" boxes. The total hours reported by system direct personnel will generally equal the total hours worked during the week, whereas, this would not be typical of the in-kind hours reported by member library personnel.

Once summarized, please retain a copy and send the original to the person in your system responsible for the data collection program. Please submit your completed time record on Monday of the following week.

WEEKLY TIME RECORD

Name _____ Week ending _____

Location _____

Direct ☐ In-kind ☐ System _____

Programs	Time allocation						
	Mon	Tues	Wed	Thurs	Fri	Sat	Total
Inter-library Loan							
Inter-library Reference							
Audio-Visual							
Central Cataloging							
Central Processing							
Outreach							
Bibliographic Resources							
Staff Development							
Aid in Materials Selection							
Publicity and Public Relations							
Other Program (Specify)							
System Administration							
Program Data Collection							
Unallocated							
Total							

SYSTEM TIME REPORT – INSTRUCTIONS

The System Time Report is used to record and summarize the individual personnel time records. Direct, in-kind, and total hours will be summarized by program.

Use of the form is straight-forward. First, the person receiving the Personnel Time Records should complete the information required in the title block:

- *Page* – Record the page number. (In some cases the number of personnel will require using several pages.)
- *Period Ending* – Enter the date of the last day of the reporting period (always a Saturday). Reporting periods will be weekly unless otherwise specified.
- *System* – Enter system name.

Next, complete the body of the report. First, fill in each person's initials in the appropriate section, system direct or in-kind. Then place each Personnel Time Record on the System Time Report so that its "total" column lines up next to that person's initials on System Time Report. Following down the page, transfer the hours from each box in the total column to the appropriate box on the ystem Time Report.

When all of the personnel time records have been entered, please summarize the data by adding the hours across (by program) for each section of the system time report. Finally, add the system direct hours to the in-kind hours by program to complete the "total hours" column.

The total hours may be cross-checked by adding the personnel totals across the bottom and comparing the sum to the sum of the total hours column.

When completed please Xerox and retain a copy of the system time report and send the original to PMM&Co.

SYSTEM TIME REPORT

Page ____ of ____ Period ending _____ System _____

Programs / Personnel (Initials)	System direct personnel						System direct hours	In-kind personnel										In-kind hours	Total hours
Inter-library Loan																			
Inter-library Reference																			
Audio-Visual																			
Central Cataloging																			
Central Processing																			
Outreach																			
Bibliographic Resources																			
Staff Development																			
Aid in Materials Selection																			
Publicity and Public Relations																			
Other Program (Specify)																			
System Administration																			
Program Data Collection																			
Unallocated																			
Total																			

INSTRUCTIONS

WEEKLY ACTIVITY LOG – INTER-LIBRARY LOAN

The purpose of this form is to record inter-library loan (ILL) activity in the system. Accordingly, it should be kept by all loan desks in the system – member libraries, system headquarters, etc. – where ILL requests are received and processed.

An ILL request has been defined (see Program Definitions) as an inter-library request for the loan of materials which must be returned (unless answered with a photocopy in lieu of a loan). Please remember that only *inter*-library requests should be logged.

The form used for logging ILL requests has been designed to measure activity only, not level of satisfaction, fill-rate, or fill-time. These will be measured using sampling techniques as the study progresses.

The form itself is self-explanatory, except for a few simple guidelines. Each ILL request should be logged by making two talley marks – one identifying the source of the request (requests received) and one indicating your disposition of that request (requests processed). Thus, the number of talley marks entered on the "received" side of the log should always equal the number on the "processed" side.

ILL REQUESTS RECEIVED

The first step in logging an ILL request is to identify from whom it was received. The first five columns of the right-hand portion of the form list the alternative sources of a request. "Patron" is used only when a patron request becomes an ILL request (i.e., it leaves the originating library). Requests filled by the originating library are not ILLs and should not be logged.

The "returned for reprocessing" column is used to log those requests which are returned unfilled and must be forwarded to another resource for additional search.

ILL REQUESTS PROCESSED

When an ILL request is received, it must be processed, either by "filling it" or by "forwarding/returning" it. If the request is filled, please so indicate by marking the column which designates how the request was filled. If you cannot fill the request, then please indicate to whom you sent the request.

END-OF-PERIOD SUMMARY

At the end of each week please add the number of marks in each column and enter the totals in the box provided at the bottom of the form. Summarized forms should then be sent to the system headquarters for input to the system activity report for this program. It is suggested that you Xerox and retain a copy of the weekly activity log before sending it to the system. Please submit weekly activity logs to the system on Monday of the following week.

WEEKLY ACTIVITY LOG – INTER-LIBRARY LOAN (ILL)

WEEK ENDING _____ LOCATION _____ SYSTEM _____

ILL REQUESTS RECEIVED						ILL REQUESTS PROCESSED					
Received From:					Returned For Reprocessing	Filled By:		Forwarded/Returned To:			
Patron	Member Library	System	Network	Other		Loan	Photocopy	Member Library	System	Network	Other

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INSTRUCTIONS

WEEKLY ACTIVITY LOG – INTER-LIBRARY REFERENCE

The purpose of this form is to record inter-library reference (ILR) activity in the system. Accordingly, it should be kept by all reference desks in the system – member libraries, system headquarters, etc. – where ILR requests are received and processed.

An ILR request has been defined (see Program Definitions) as an inter-library request for information (not materials) which may be filled verbally, by teletype, or by photocopy. Please remember that only *inter*-library requests should be logged.

The form used for logging ILR requests has been designed to measure activity only, not level of satisfaction, fill-rate, or fill-time. These will be measured using sampling techniques as the study progresses.

The form itself is self-explanatory, except for a few simple guidelines. Each ILR request should be logged by making two talley marks – one identifying the source of the request (requests received) and one indicating your disposition of that request (requests processed). Thus, the number of talley marks entered on the "received" side of the log should always equal the number on the "processed" side.

ILR REQUESTS RECEIVED

The first step in logging an ILR request is to identify from whom it was received. The first five columns of the right-hand portion of the form list the alternative sources of a request. "Patron" is used only when a patron request becomes an ILR request (i.e., it leaves the originating library). Requests filled by the originating library are not ILRs and should not be logged.

The "returned for reprocessing" column is used to log those requests which are returned unfilled and must be forwarded to another resource for additional research.

ILR REQUESTS PROCESSED

When an ILR request is received, it must be processed, either by "filling it" or by "forwarding/returning" it. If the request is filled, please so indicate by marking the column which designates how the request was filled. If you cannot fill the request, then please indicate to whom you sent the request.

END-OF-PERIOD SUMMARY

At the end of each week please add the number of marks in each column and enter the totals in the box provided at the bottom of the form. Summarized forms should then be sent to the system headquarters for input to the system activity report for this program. It is suggested that you Xerox and retain a copy of the weekly activity log before sending it to the system. Please submit weekly activity logs to the system on Monday of the following week.

WEEKLY ACTIVITY LOG – INTER-LIBRARY REFERENCE (ILR)

WEEK ENDING _____ LOCATION _____ SYSTEM _____

ILR REQUESTS RECEIVED						ILR REQUESTS PROCESSED						
Received From:					Returned For Reprocessing	Filled By:			Forwarded/Returned To:			
Patron	Member Library	System	Network	Other		Telephone	Teletype	Photocopy	Member Library	System	Network	Other

INSTRUCTIONS

SYSTEM ACTIVITY REPORTS – ILL AND ILR

The purpose of this form is to summarize all ILL and ILR activity at a system-level.

Upon weekly receipt of the Weekly Activity Logs for ILL and ILR, please enter the column totals for each location on the appropriate System Activity Report. After each location has been entered, add the columns and enter the sums in boxes at the bottom of the page.

When completed, please Xerox and retain a copy of the System Activity Report for each program and send the original to PMM&Co.

SYSTEM ACTIVITY REPORT – INTER-LIBRARY LOAN (ILL)

PERIOD ENDING _____ SYSTEM _____

LOCATION	ILL REQUESTS RECEIVED						ILL REQUESTS PROCESSED					
	Received From:					Returned For Reprocessing	Filled By:		Forwarded/Returned To:			
	Patron	Member Library	System	Network	Other		Loan	Photocopy	Member Library	System	Network	Other

SYSTEM ACTIVITY REPORT – INTER-LIBRARY REFERENCE (ILR)

PERIOD ENDING _____ SYSTEM _____

LOCATION	ILR REQUESTS RECEIVED						ILR REQUESTS PROCESSED						
	Received From:					Returned For Reprocessing	Filled By:			Forwarded/Returned To:			
	Patron	Member Library	System	Network	Other		Telephone	Teletype	Photocopy	Member Library	System	Network	Other

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INSTRUCTIONS

SYSTEM ACTIVITY REPORT – SELECTED PROGRAMS

This form is used to summarize system activity on a monthly basis for selected programs. These programs include Audio-Visual, Central Cataloging, Central Processing, Staff Development, Aid in Materials Selection, and Publicity and Public Relations. Input data for these programs should be developed from system records.

It is suggested that the data reported for these programs be compared with the hours reported by program in the System Time Report to assure its reasonableness.

Please retain a Xerox copy of this activity report and send the original to PMM&Co. at the end of each month.

SYSTEM ACTIVITY REPORT

Month ending_____ **System**_____

AUDIO-VISUAL

Titles held at beginning of the month _____

Titles added during the month _____

Copies held at beginning of the month _____

Copies added during the month _____

Loans of system A-V materials during the month _____

Inter-library loans of member A-V materials during the month _____

Loans of A-V circuit materials during the month _____

CENTRAL CATALOGING

Backlog of titles at beginning of the month _____

Titles received during the month _____

Titles cataloged during the month _____

CENTRAL PROCESSING

Backlog of copies at beginning of the month _____

Volumes received during the month _____

Volumes processed during the month _____

STAFF DEVELOPMENT

The following activities were conducted during the month:	Preparation hours	Attendee hours
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____

AID IN MATERIALS SELECTION

The following activities were conducted during the month:	Preparation hours	Attendee hours
1. _____	_____	_____
2. _____	_____	_____

PUBLICITY AND PUBLIC RELATIONS

The following activities were conducted during the month:	Development hours
1. _____	_____
2. _____	_____

PREVIEW
SYSTEM EXPENDITURES BY PROGRAM

Program costs will be developed at the system level for the period from September 1, 1974 through December 31, 1974. This effort, the final element of the data collection program, will involve the allocation of line item expenditures to the various system programs. Essentially, this will require that all system expenditures during the four-month period be accounted for by program.

The attached form illustrates how the program cost data will be compiled. Detailed forms and instructions will be forthcoming.

SYSTEM EXPENDITURES BY PROGRAM

September 1, 1974 to December 31, 1974

System _____

LINE ITEMS OF EXPENSE / PROGRAMS								LINE ITEM TOTALS
SALARIES (including benefits)								
LIBRARY MATERIALS								
OPERATING EXPENSES								
Rent								
Utilities and Maintenance								
Supplies (office, library)								
Telephone, TWX, Telex								
Postage, UPS								
Photocopy								
Delivery Vehicle								
Bookmobile								
Travel								
Membership Fees								
Contract Services (specify)								
Miscellaneous (specify)								
EQUIPMENT DEPRECIATION								
Delivery Vehicle								
Bookmobile								
Library Equipment								
Office Machines								
Furniture								
PROGRAM TOTALS								

NOTES:

PROGRAM DATA COLLECTION BULLETIN

August 6, 1974

Thanks

Thank you for accepting the responsibilities of system representative to the data collection program. With your help in guiding and coordinating the data collection effort within your system, we all can make significant contributions to the analysis, evaluation, and funding of public library systems in California.

The Bulletin

As we discussed at the July 26 and 29 orientation meetings, ongoing communications is an integral part of the data collection program. As a start, we have instated this Bulletin as a means of (1) informing you of any clarifications or revisions to the data collection guidelines, and (2) implementing additional program elements.

The bulletin, unfortunately, only provides one-way communications. We anticipate that you will have specific questions related to your system's programs. Please direct your questions to Gary Gossard at (213) 972-4573.

ILL and ILR Activity Logging

The following guidelines are provided for logging the receipt and processing of ILL and ILR requests:

"Member" – Another member library of your own system.

"System" – Your own system's headquarters or resource centers.

"Network" – BARC, SCAN, TIE, CIN, LOCNET, CAL, PSRMLS, other systems' headquarters or resource centers.

"Other" – California State Library, special libraries, academic libraries, libraries of other systems, nonaffiliated libraries.

ILR Activity Log and Report

The ILR Activity Log and Report forms have been revised to account for ILR requests that were filled by library materials. Samples of the new forms are enclosed and more are being

printed. Please revise the ILR forms you have by dividing the "Filled by Photocopy" column and heading the right half "Materials." (Remember, if the materials were provided through ILL, the transaction should also be logged on the ILL form.)

More Forms

We have enclosed several order blanks for your use in ordering additional data collection forms. Please *limit* your initial order to a two-months' supply; our print shop is overwhelmed. We anticipate filling all orders the same week they are received.

We have enclosed address labels for your use in forwarding the system-level reports. We request that only complete reports be submitted, even if this causes a few days' delay.

WEEKLY ACTIVITY LOG – INTER-LIBRARY REFERENCE (ILR)

WEEK ENDING_____ LOCATION_____ SYSTEM_____

ILR REQUESTS RECEIVED						ILR REQUESTS PROCESSED							
Received From:					Returned For Reprocessing	Filled By:				Forwarded/Returned To:			
Patron	Member Library	System	Network	Other		Telephone	Teletype	Photocopy	Materials	Member Library	System	Network	Other
Total													

SYSTEM ACTIVITY REPORT – INTER-LIBRARY REFERENCE (ILR)

PERIOD ENDING _____ SYSTEM _____

LOCATION	ILR REQUESTS RECEIVED						ILR REQUESTS PROCESSED							
	Received From:					Returned	Filled By:				Forwarded/Returned To:			
	Patron	Member Library	System	Network	Other	For Reprocessing	Telephone	Teletype	Photocopy	Materials	Member Library	System	Network	Other
TOTAL														

DATA COLLECTION FORMS ORDER

System_____

ITEM	QUANTITY
Weekly Time Record	_____
Weekly Activity Log - ILL	_____
Weekly Activity Log - ILR	_____
System Time Report	_____
System Activity Report - ILL	_____
System Activity Report - ILR	_____
System Activity Report - Selected Programs	_____
Other (specify) _____	_____

I estimate that the above quantities will meet our system's requirements through:

_____ September, _____ October, _____ November, _____ December.

Ordered by:_____

Date: _____

Please Return to: Gary L. Gossard
Peat, Marwick, Mitchell & Co.
555 South Flower
Los Angeles, California 90071

PROGRAM DATA COLLECTION BULLETIN

December 12, 1974

Schedule Revision

The schedule for the program data collection and analysis has been accelerated. Hopefully, this will enable the State Library to submit a legislative proposal in time for next year's PLSA funding.

The following paragraphs summarize the current dates for each of the major elements of the data collection effort.

Personnel Inventory

All of the personnel inventories have been received and are being processed. Additional updates to the personnel inventories are not necessary.

Time and Activity Data Reporting

The time and activity data collection period has been shortened by one week. The last weekly System Time Report and ILL and ILR System Activity Reports will be for the week ending December 28, 1974. In view of our compressed schedule, please try to have these reports in the mail by Friday, January 3.

The last monthly System Activity Report for Selected Programs should report activities through December 31, 1974. Again, we would appreciate receiving this report as soon after the first of the year as possible.

Performance Measurement

It was concluded that additional data collection was not necessary to evaluate the performance of selected programs. Rather, the data already being collected will be used in conjunction with information obtained through interviews and phone conversations to assess the effectiveness of certain system programs.

Program Costs

The final element of the data collection effort is the reporting of total program costs. As originally scheduled, program costs will be reported by each system for the period from

September 1 through December 31, 1974. Instructions and forms for allocating line item expenditures to the various system programs are enclosed.

We recognize that it is not possible to report system expenditures until your accounting books are closed; however, we request that you give this final task your earliest possible attention. Please notify Mr. Gary Gossard at (213) 972-4573 if it appears that your system's program costs cannot be in the mail by January 20, 1975.

Thank You

Thank you for serving as your system's representative to the data collection program. Your interest and cooperation over the past few months has been overwhelming. Best wishes for a Merry Christmas and the Happiest of New Years.

PROGRAM COSTS

The final step in the program data collection effort is the reporting of total system program costs for the period from September 1 through December 31, 1974. This task involves the allocation of line item expenditures to the various system programs. Essentially, this will require that all system expenditures, as well as certain in-kind contributions, made during the four-month period be accounted for by program.

Program cost reporting is intended to be a system level task. The system representative to the data collection program should work closely with the system fiscal agent in determining line item expenditure totals, and with the program coordinators in allocating the expenditures to the various programs. This is not a task that should be broken down and delegated to a number of individuals; rather, it requires maximum continuity and understanding of the system's programs.

There are three one-page forms involved in the reporting of program costs. They are:

1. System Funding by Source
2. System Expenditure by Program
3. In-Kind Contributions by Program.

The following paragraphs provide instructions and guidelines for completing these forms. Multijurisdictional systems should complete all three forms. Single jurisdictional systems will be contacted individually regarding the appropriate use of forms 2 and 3.

System Funding by Source

Please indicate the amount of system funds received from each of the various sources for fiscal year 1974-75. For LSCA funds, indicate the funding by grant and the program(s) it supports. If your system assesses membership fees, please enter the total amount as item 3 and attach a separate page indicating the membership fee formula and the amount contributed by each member library. Funds received from other sources should be listed by source, designating their program allocation where appropriate. Please list total funding for fiscal year 1974-75 whether or not the funds have actually been received.

System Expenditures by Program

The *Systems Expenditures by Program* form is a matrix for allocating line items of expense to programs and summarizing system direct program costs. The suggested steps for completing

the form and line item definitions are presented below. Please report only system direct expenses, that is, money paid from system funds, during the four-month period. We are concerned here with the actual cost to the system for the salaries earned, supplies used, services rendered, etc. during the four-month period, regardless of when the expenditure is actually made. (Accountants should approach this from an accrual accounting rather than a cash basis standpoint.)

Step 1 – Enter the total system expenditure for each line item in the column *Line Item Totals*. Some of these figures will be available from your accounting records; others will have to be calculated. Please refer to the enclosed guidelines for line item definitions.

Step 2 – A major item of expense for most systems will be salaries. Enter the total amount of payroll expense (including employee benefits) paid from system funds in the *Line Item Totals* column opposite *Salaries*. This figure should be available from your accounting records and should represent the wages and salaries actually earned during the four-month period.

Step 3 – A check for reasonableness should be conducted at this point. The total line item expenses listed for library materials, operating expenses and salaries (note: depreciation expense is excluded) should approximate the actual cash disbursements of the system for the past four months excluding major equipment purchases, if any.

Step 4 – The next step is to allocate the line item expenditures to the individual programs. Allocations should reflect the degree to which programs were supported by the expense. For example, the total Telex expense may belong to ILL, whereas the telephone expense may appropriately be divided between ILR and System Administration. Similarly, the delivery vehicle may have its operating expense and equipment depreciation allocated to several programs. The same program descriptions used in completing the Weekly Time Records should be used to define the scope of the various programs for allocating line item expenditures.

There is no substitute for comprehensive knowledge of system operations in completing this step. It is suggested that the program coordinators and the system bookkeeper jointly participate in the allocations.

It is important that the total line item expenditure be allocated to one or more of the programs. Expenditures which cannot be clearly identified with a specific program should be entered in the unallocated program.

Do *not* allocate salaries to the programs. This allocation will be based on the System Time Reports previously submitted.

Step 5 – Once the line item expenditures have been allocated to the programs, add the columns and enter the Program Totals *(excluding salaries)* in the row provided.

(Please do not write in the shaded areas.) The sum of the Program Totals should equal the sum of the Line Item Totals. If these two figures are different, an error has been made in either allocating or tabulating the expenditures.

In-Kind Contributions by Program

The *In-Kind Contributions by Program* form is very similar to the System Expenditures by Program form. It is used for allocating the value of in-kind contributions made by member libraries to the appropriate system programs.

Although the line items are identical on both forms, only major expenses will be reported for in-kind contributions. By focusing on major in-kind expenditures, it will be possible for the information to be provided by system personnel. Major items would include rent-free housing for system headquarters, a delivery vehicle or bookmobile, etc. Any of the line items are valid as an in-kind contribution; however, effort should not be devoted to developing figures that will be insignificant when compared with other program costs. Additional guidelines are provided in the Line Item Definitions.

Completion of the in-kind form will differ from that of the system direct form in three respects. First, no salary expense figures are required. This information has already been reported on a weekly basis. Second, it is easiest to identify in-kind contributions initially by program. Therefore, the body of the form will probably be completed first, with Line Item Totals and Program Totals to follow. Third, in-kind amounts should be footnoted to identify the contributing member library.

LINE ITEM DEFINITIONS

The following definitions of line items are provided as guidelines to assist you in completing the *System Expenditure by Program* and the *In-Kind Contributions by Program* matrix forms. Line items are used to describe objects or types of expenditures, e.g., salaries, materials, supplies, etc., within the system programs.

Library Materials

Reference – Includes purchase of bibliographic resources, location tools, indexes, printing of union catalogs, etc. Excludes member library purchases unless such purchase was the result of a cooperative system level program.

Circulating Books – Books and periodicals purchased for pool collections or as the result of a cooperative program.

Circulating Audio-Visual – A-V materials purchased for system circulation or as the result of a cooperative program. Excludes A-V equipment.

Operating Expenses

Rent – Includes the rent paid by the system for headquarters office space, processing centers, etc. If rent is subsidized, in part or in full, by a member library, the appropriate value of the space occupied by the system should be reported as an in-kind contribution. Rent should not be included for small areas such as reference desks.

Utilities and Maintenance – Utilities and maintenance should be included for major areas as defined under rent. Actual systems expenditures and in-kind contributions should be reported separately on the appropriate forms.

Supplies – Examples include office supplies and book processing materials that are consumed in daily operations. It is not necessary to be overly concerned with beginning and ending inventory balances if accounting records are used to determine this total.

Telephone, TWX, Telex – The total equipment rental and line charges incurred by the system or by system programs (e.g., ILL, ILR) for such communication services. Please estimate December billings to expedite the cost reporting.

Postage, UPS – The total charge for postage or other contract delivery service incurred by the system or its programs should be included.

Photocopy – The total cost of paper, toner and equipment rental. Owned equipment should be depreciated under office machines but supply costs should be reported here. If a member library provides photocopies as part of the ILL program, estimate the in-kind contribution based on the approximate number of copies.

Delivery Vehicles – The cost of operating delivery vehicles includes gas, oil, maintenance, license, insurance, etc. Excluded are purchase price and operator salaries.

Bookmobile – See delivery vehicles, above.

Travel – The total system expense for travel. In-kind contributions should be estimated for member library personnel attending system level meetings.

Membership Fees – Include all membership fees paid by the system (e.g., film circuit). Exclude fees paid by member libraries unless paid on behalf of the system. Please use footnotes to indicate the fees paid.

Contract Services – See membership fees above.

Miscellaneous – Please footnote the nature of the expense by program.

Equipment Depreciation

The concept of depreciation will be used to develop period expense for major pieces of equipment owned by the system or provided by the member libraries. Period expenses are determined by dividing the purchase price of the equipment by its useful life. For example, a delivery vehicle with a purchase price of $4,500 and a useful life of three years would have a monthly depreciation expense of $125. If such a vehicle were in service for the entire four months of the data collection period, its depreciation expense would be $500.

If your system has developed a depreciation schedule for its major equipment, please use the data already available. If not, use the approximate purchase price and the suggested useful lives in developing the depreciation expense for the four-month period. Only major pieces of equipment should be depreciated. Do not attempt to depreciate office machines and furniture contributed by member libraries unless they are used at system headquarters. The suggested equipment lives are as follows:

- Delivery vehicle – 3 years
- Bookmobile – 5 years
- Library equipment – 10 years
- Office machines, furniture – 10 years.

SYSTEM FUNDING BY SOURCE

Fiscal Year 1974-75 System _____

1. PLSA Funding $ _____

2. LSCA Funding

Grant	Amount	Program(s)
_____	$ _____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Total LSCA $ _____

3. Membership Fees $ _____

4. Other Funding

Source	Amount	Program(s)
_____	$ _____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Total Other $ _____

September 1 through December 31, 1974

SYSTEM EXPENDITURES BY PROGRAM

System _____

LINE ITEMS \ PROGRAMS	ILL	ILR	Audio-Visual	Central Cataloging	Central Processing	Outreach	Biblio. Resources	Staff Develop.	Materials Selection	Publicity and P.R.	Other Program	System Admin.	Data Collection	Unallo-cated	LINE ITEM TOTALS
LIBRARY MATERIALS															
Reference															
Circulating Books															
Circulating Audio-Visual															
Other (specify)															
OPERATING EXPENSES															
Rent															
Utilities and Maintenance															
Supplies															
Telephone, TWX, Telex															
Postage, UPS															
Photocopy															
Delivery Vehicle															
Bookmobile															
Travel															
Membership Fees (specify)															
Contract Services (specify)															
Miscellaneous (specify)															
EQUIPMENT DEPRECIATION															
Delivery Vehicle															
Bookmobile															
Library Equipment															
Office Machines, Furniture															
Other (specify)															
PROGRAM TOTALS (excluding salaries)															
SALARIES (including benefits)															
PROGRAM TOTALS (including salaries)															

NOTES:

September 1 through December 31, 1974

IN-KIND CONTRIBUTIONS BY PROGRAM

System _____

LINE ITEMS \ PROGRAMS	ILL	ILR	Audio-Visual	Central Cataloging	Central Processing	Outreach	Biblio. Resources	Staff Develop.	Materials Selection	Publicity and P.R.	Other Program	System Admin.	Data Collection	Unallocated	LINE ITEM TOTALS
LIBRARY MATERIALS															
Reference															
Circulating Books															
Circulating Audio-Visual															
Other (specify)															
OPERATING EXPENSES															
Rent															
Utilities and Maintenance															
Supplies															
Telephone, TWX, Telex															
Postage, UPS															
Photocopy															
Delivery Vehicle															
Bookmobile															
Travel															
Membership Fees (specify)															
Contract Services (specify)															
Miscellaneous (specify)															
EQUIPMENT DEPRECIATION															
Delivery Vehicle															
Bookmobile															
Library Equipment															
Office Machines, Furniture															
Other (specify)															
PROGRAM TOTALS (excluding salaries)															
SALARIES (including benefits)															
PROGRAM TOTALS (including salaries)															

NOTES:

PROGRAM DATA COLLECTION BULLETIN

January 15, 1975

The following are supplementary instructions for the reporting and analysis of the program cost data.

Equipment Purchases

You have probably noticed that there is no line item for equipment purchases on either of the cost matrix forms. This is because equipment purchases *should not* be reported as an expenditure or contribution for the four-month period. Rather, the depreciation expense for the pieces of major equipment used during the period in support of system programs should be calculated and reported on the appropriate form. Guidelines for calculating depreciation expense are included in the program cost instructions.

Annual Expenditure Levels

Because of the seasonality of certain expenses and the problems experienced by some systems in having to defer purchases until Federal monies have actually been received, we are asking for some additional information. In the right margin of the System Expenditures form, please indicate the anticipated annual expense for the line items listed under Library Materials and Operating Expenses. These figures will necessarily be estimates and may be based on fiscal year 1974-75 budgets or revised estimates. These figures should not be allocated to the programs but should represent the total annual system direct expense anticipated for the current fiscal year for each line item as shown in the attached example.

Data Collection Complete, Almost

With very few exceptions, we have received all of the weekly and monthly reports from the systems. Thank you again for the sincere interest expressed throughout the data collection period.

SYSTEM EXPENDITURES BY PROGRAM

September 1 through December 31, 1974

System _____

LINE ITEMS \ PROGRAMS	ILL	Unallocated	LINE ITEM TOTALS	ESTIMATED ANNUAL EXPENDITURE
LIBRARY MATERIALS				
Reference				XXX
Circulating Books				XXX
Circulating Audio-Visual				XXX
Other (specify)				XXX
OPERATING EXPENSES				
Rent				XXX
Utilities and Maintenance				XXX
Supplies				XXX
Telephone, TWX, Telex				XXX
Postage, UPS				XXX
Photocopy				XXX
Delivery Vehicle				XXX
Bookmobile				XXX
Travel				XXX
Membership Fees (specify)				XXX
Contract Services (specify)				XXX
Miscellaneous (specify)				XXX
EQUIPMENT DEPRECIATION				
Delivery Vehicle				
Bookmobile				
Library Equipment				
Office Machines, Furniture				
Other (specify)				
PROGRAM TOTALS (excluding salaries)				
SALARIES (including benefits)				
PROGRAM TOTALS (including salaries)				

NOTES:

NONPUBLIC LIBRARIES INTERVIEWED

University of California

Berkeley
Davis
Irvine
Los Angeles
Riverside
San Diego
Santa Barbara
Santa Cruz

California State University

Chico
Fresno
Fullerton
Hayward
Long Beach
Los Angeles
Sacramento
San Diego
San Francisco
San Jose
Stanislaus
Sonoma

Private Academic Institutions

California Institute of Technology
Claremont College (Honnold Libraries)
Stanford University
University of Southern California
University of The Pacific

Community Colleges

Butte
Chabot
Cosumnes River (telephone)
Fresno
Fullerton
Long Beach (telephone)
Merced

Community Colleges, continued

Mira Costa
Monterey Peninsula
Mt. San Antonio (telephone)
Pasadena
Riverside
San Bernardino
San Mateo
Santa Rosa

Special Libraries

Areospace Corporation
Federal Reserve Bank of San Francisco
Rand Corporation
Regional Medical Library (UCLA)
Standard Oil of California Corporation

School Libraries

Bakersfield School District
Los Angeles City School District
Los Angeles County School District
San Diego City School District
San Mateo City School District

California Association of School Librarians
(Margaret Miller – Los Angeles City Schools)
(Jean Elaine Wichers – San Jose State University)
State Department of Education
(Mr. Claude Hass, Ms. Elsie Holland)

Intertype Newtorks

BARC (San Francisco)
CIN (Palo Alto)
LOCNET (Santa Ana)
METRO (San Diego)
Mountain Valley Cooperative Library System (Sacramento)
SCAN (Los Angeles)
TIE (Santa Barbara)

QUESTIONS FOR NONPUBLIC LIBRARIES

I. INTERFACE

1. Are you a member of any cooperative consortia or group of libraries? If so:

   a. Who are the members?

   b. What are the objectives?

   c. Why did you join?

   d. What is your role?

   e. What has been your experience?

   If not:

   f. Are there any cooperative library systems or networks in the area to which you do not belong?

   g. Why don't you belong?

2. What is the status of interlibrary cooperatiion in your area?

3. Do you have any informal cooperative or reciprocal relationships with other libraries in your area that are significant?

4. Please describe your relationship (or that of your segment members) with the following:

   a. Public libraries

   b. Public library systems

   c. Intertype cooperative networks

   d. School libraries (elementary and secondary)

   e. Community college libraries

   f. Academic libraries

      - University of California
      - California State University and Colleges
      - Private colleges and universities

g. Special libraries

h. California State Library.

II. RESOURCES

1. Please describe (or verify) the resources of your library and, insofar as possible, the resources of your segment member libraries:

   a. Titles/volumes by type of material

      - Monographs
      - Periodicals
      - Audio-visual
      - Microform

   b. Subject specializations

2. Who determines your acquisition policy and budget?

3. Do you attempt to coordinate your acquisitions with any other library or group of libraries?

4. What is your institution's policy regarding coordinated or cooperative resource building? What is your personal philosophy?

5. What are your resource needs or weaknesses? (i.e., What types of resources are demanded by your patrons which you are not currently able to provide?)

6. Why are you not able to provide these resources (e.g., budget, staff, etc.)?

7. What backup procedures do you follow to attempt to locate these items requested which are not in your collection?

8. Have you attempted to monitor the relationship between demand (circulation and ILL's) and purchases?

III. SERVICES

1. Please describe your library's policy relating to providing services to the general public? From where does that policy emanate?

2. Please describe your library's policy relating to providing services to other libraries?

3. What is the attitude of your constiuents toward use of your library by outsiders? To what degree is this attitude related to compensation or reimbursement?

4. What is the attitude of your staff and administration toward use of the library by outsiders? To what degree is this attitude related to compensation or reimbursement?

5. Specifically describe your activities in the following areas, providing statistics where possible:

   . ILL

   . ILR.

6. Have you attempted to segregate the costs of these services? Do you find that you have to defend the costs of these services?

7. Are you reimbursed by, or do you reimburse, any libraries for providing interlibrary services?

8. What is your institution's policy toward purchasing or selling services (for dollars, not just exchanging services)? What is your personal philosophy?

9. How could public library service be improved?

10. In terms of materials, what are you asked to provide to public libraries or systems?

IV. SUPPORT FUNCTIONS

A. Bibliographic Resources

1. In what form (or forms) do you maintain a catalog of your resources?

2. Do you report your holdings or acquisitions to any other library or group of libraries?

3. Do you receive records of the holdings or acquisitions of any other library(s)? If so, what use do you make of these records?

4. What are your plans for future bibliographic resources? Needs?

B. Communications

1. What communications tools do you have which are, or could be, used to communicate with other libraries?

C. Delivery

1. How do you currently deliver materials which are exchanged between your library and other libraries?

D. **Staff Development**

1. Have you, or are you currently, participating with any other libraries in staff development programs?

E. **Technical Services**

1. Are your currently working cooperatively with, or purchasing technical services from, another library?

2. Are you cataloging in MARC format?

3. To what extent do you use jobbers to do your processing?

V. STRUCTURE

1. What structure do you feel would be the most effective to provide the services performed by P.L. systems?

2. What conditions must exist for your library to participate in an intertype or network with public libraries?

3. What would you be willing to pay, or what would you have to receive, to join such a network?

QUESTIONS FOR EXISTING INTERTYPES

I. RELATIONSHIPS WITH OTHER TYPES OF LIBRARIES

1. Who are the members?
2. Who are not?
3. Which members are using the system the most?

II. ORGANIZATION

1. How is the network formalized? Who are the signators to this agreement?
2. Is there an advisory committee?
3. What are the objectives of the network?
4. Who sets them?
5. How do you measure achievement of your objectives?

III. SERVICES

1. What are the activities?
2. How are they performed, i.e., how does the network operate?
3. How do activities relate – similarities, differences – to other networks?
4. In the event it is required, what is your backup procedure?
5. What information/materials do you most often provide to public libraries?
6. In what areas is the network least able to meet user's needs?

IV. FUNDING

1. How is the network funded?
2. What is the attitude toward funding in the absence of LSCA money?
3. Is provision made for acquisition of materials in you budget? If so, what are they? Where are they kept?

V. ACCOUNTABILITY

1. What type of statistics do you maintain?

2. How do you evaluate program effectiveness?

3. How do you obtain user feedback to improve your programs?

VI. STRUCTURE

1. What are the major problems you have experienced in networking (other than funding)? Do you see any solutions?

2. What type of future structure do you favor?

CALCULATION OF THE ESTIMATED GROWTH RATE IN INTERLIBRARY DEMAND

The estimate of the projected growth rate for interlibrary demand presented in Chapter 9 was determined in the following way. For the fiscal year 1971-1972, Statewide interlibrary borrowings of public libraries, excluding the five single jurisdictional systems, totalled 175,881. The comparable figure for 1972-1973 was 234,780, an annual increase of 33.4%. The totals for 1973-1974 are not yet available.

An estimate of the comparable number for 1974-1975 was made by extrapolating from the 131,000 requests generated by multijurisdictional systems during the four-month data collection period to an estimated annual total of 390,000 requests. This total number of requests was discounted to an 80-90% fill rate (i.e., the number of interlibrary loans provided by *public* libraries in response to the total requests) to yield an estimate of between 312,000 and 351,000 interlibrary loans in 1974-1975 for members of multijurisdictional systems. Since their membership is closely comparable to the Statewide less single jurisdictional total used above, the resultant two-year growth rate is estimated at 32.9% to 49.5%, which gives a range of 15.3% to 22.3% compounded annually.

So, we have a firm figure of 33.4% for the growth rate from 1971-1972 to 1972-1973 and an estimated range for the subsequent two years of 15.3-22.3% per annum. The estimate for the latter two years may be conservative because it does not include an estimate for nonmember libraries, which were excluded from the data collected for multijurisdictional systems.

Taking all these factors into account, an estimated growth rate of 20% per annum in interlibrary demand does not appear unreasonable.

DETERMINATION OF LEVELS FOR SUSTAINING SERVICES FUNDING

As indicated in Chapter 12, this appendix details the rationale behind program selection and determination of the factor for the sustaining services component of the funding formulas. Those programs not recommended for State funding are also discussed.

The approach taken in determining the recommended support for these components was to examine current outlays (from the cost data reported in Chapter 6) and the needs (summarized in Chapter 8) by program to arrive at projected required funding levels. Based on the sum of these estimated levels, at a State share of their funding of 100%, unless otherwise noted, the total amount indicated was related to the first-year resource sharing subvention for that alternative.

PUBLIC LIBRARY SYSTEMS ALTERNATIVE

The programs selected for inclusion in the funding formula, their projected levels and the calculation of the formula are presented in the first half of this section. Then, following the formula determination, those programs not included and the reasons for their exclusion are presented.

Staff Development

Clearly, the need for staff development at the intermediate level in California's public libraries is significant. Moreover, staff development is a program which, because it is common to all public libraries and may be effectively centralized, should be done on a Statewide basis wherever possible. Funding for staff development should be based on realistic standards based on actual needs and the difference between actual and desired performance. Toward this end, we have recommended formation of a Staff Development Committee at the State level to oversee the development of a Statewide plan for continuing education and staff training.

Assuming that forty hours per year of training for all professional staff in the State's public libraries represents a minimal standard for staff development, and that about half of that training could be administered on a Statewide basis, the estimated costs to the State would be about $960,000 per year. This cost is based on the average cost of about $10.00 per attendee hour reported in Chapter 6, multiplied by the estimated 2,400 professional staff in California's public libraries. The multijurisdictional systems' share of this total is estimated to be approximately $600,000.

Films

While the data reported in Chapter 6 do not show a clear relationship between program requirements for a film program and total audiovisual costs reported, it is estimated that film programs represent over half of the 8.7% of total costs reported. Accordingly, it is estimated that centralized film collections and film circuit activity, at current levels, represent about $250,000 annually in multijurisdictional system funding.

Coordinated Collection Building/Materials Selection

Based on this program's (aid in materials selection) current cost of about 1% of total system costs, its relationship to resource sharing programs is about 2%. However, the effectiveness of current programs for system-level collection development has been extremely limited. To encourage systems to more effectively coordinate collection building, the State funding formula should provide supplemental funding for the purchase of library materials – reference tools, one-copy items and rotating pool collections – at the rate of 10% of the level of assistance provided for resource sharing. Ten percent was chosen arbitrarily; the actual percentage allocated to this function annually by the State Library Advisory Council should be keyed to changes in the Statewide fill rate achieved by systems.

Input to the formula for materials selection is approximately $40,000, and, in addition, the recommendation that an amount of 10% of resource sharing subvention be provided to the systems for collection development will be added to the rate calculated for the sustaining services programs.

Publicity

Publicity programs currently account for about 0.4% of total multijurisdictional costs. An appropriate annual cost for this program, however, is about $20,000 since not all systems reported costs to this program.

System Administration

Administrative costs – planning, coordination, grant application, data collection, bookkeeping and unallocated costs – currently account for 13.3% of multijurisdictional system costs. An analysis of administrative costs indicates that an allowance of about two-thirds of these costs, or 9% of total costs, is an appropriate level for this program. The resultant annualized amount reflecting this percentage is approximately $350,000.

Summary – Determination of Funding Ratio

The accumulated costs of the above programs represent a total of about $1,260,000. Dividing this total by the first year resource sharing subvention under the formula ($510,000) yields a factor of 2.47, rounded to 2.5. Adding the 10% allowance for coordinated collection building results in a factor of 2.6 times resource sharing subvention.

Bibliographic Resources

We do not recommend that State assistance be provided to encourage the development of system-level bibliographic resources. Rather, we recommend that systems focus their backup resources at a central location and, as a result, the costs of developing systemwide location tools become unnecessary.

Moreover, because of the rapidly improving automated bibliographic data bases, which may be capable of being used at a system level in the next decade, we do not feel that it is fruitful to invest large sums of money – either State or local funds – in the development of local bibliographic resources.

Cataloging and Processing

System cataloging and processing programs, while they may provide for certain economies of scale (this point was not addressed by the study), primarily provide local convenience and benefits, and accordingly should not be funded by the State. If, as a result of technological progress in the development of automated shared cataloging data bases, it becomes economical to provide this service on a Statewide basis through systems, then reconsideration of this recommendation is appropriate.

Outreach

We do not recommend that system outreach activities be funded as part of the general system formula. Rather, it is recommended that if the State, through the State Library, chooses to develop outreach programs for those special groups for which the State recognizes a special library need, e.g., persons in State institutions, it should contract with systems or individual public libraries to implement these programs. Otherwise, outreach tends to be a local issue, and where it can be cost-effectively centralized at a system level, it should become a locally funded system program.

DESIGNATED INTERMEDIATE LIBRARIES ALTERNATIVE

The factor for sustaining services funding for Regional Library Councils was developed in a manner parallel to that of the sustaining services portion of the systems formula. In this case, however, only the staff development, film and publicity programs were included. Staff development was projected at the Statewide level of $960,000, while the other two programs were projected at their multijurisdictional system level plus an additional 25% to account for the suggested relationship for single jurisdictional system libraries.

The resultant total, $1,298,000, was divided by the resource sharing formula component, $814,000, to determine the sustaining services factor of 1.6 times resource sharing subvention.

Coordinated collection building was already taken into account under this structure in the resource sharing component of the funding formula.

SAMPLE AGENDA FOR ANNUAL REGIONAL LIBRARY COUNCIL MEETING

1. Report of Executive Council on activities of previous year, or plans.
2. Report of the State Library on legislation – program priorities, developments, etc.
3. Report of Designate Libraries
4. Small group discussions on:
    A. How sharing of resources can be improved
    B. Regional service needs
    C. Proposals for projects to be submitted to the State Library
    D. Legislation affecting libraries
    E. Any other subjects proposed by assembly members.
5. Report and summary of small groups – consensus on next year's direction.
6. Election of Executive Council.